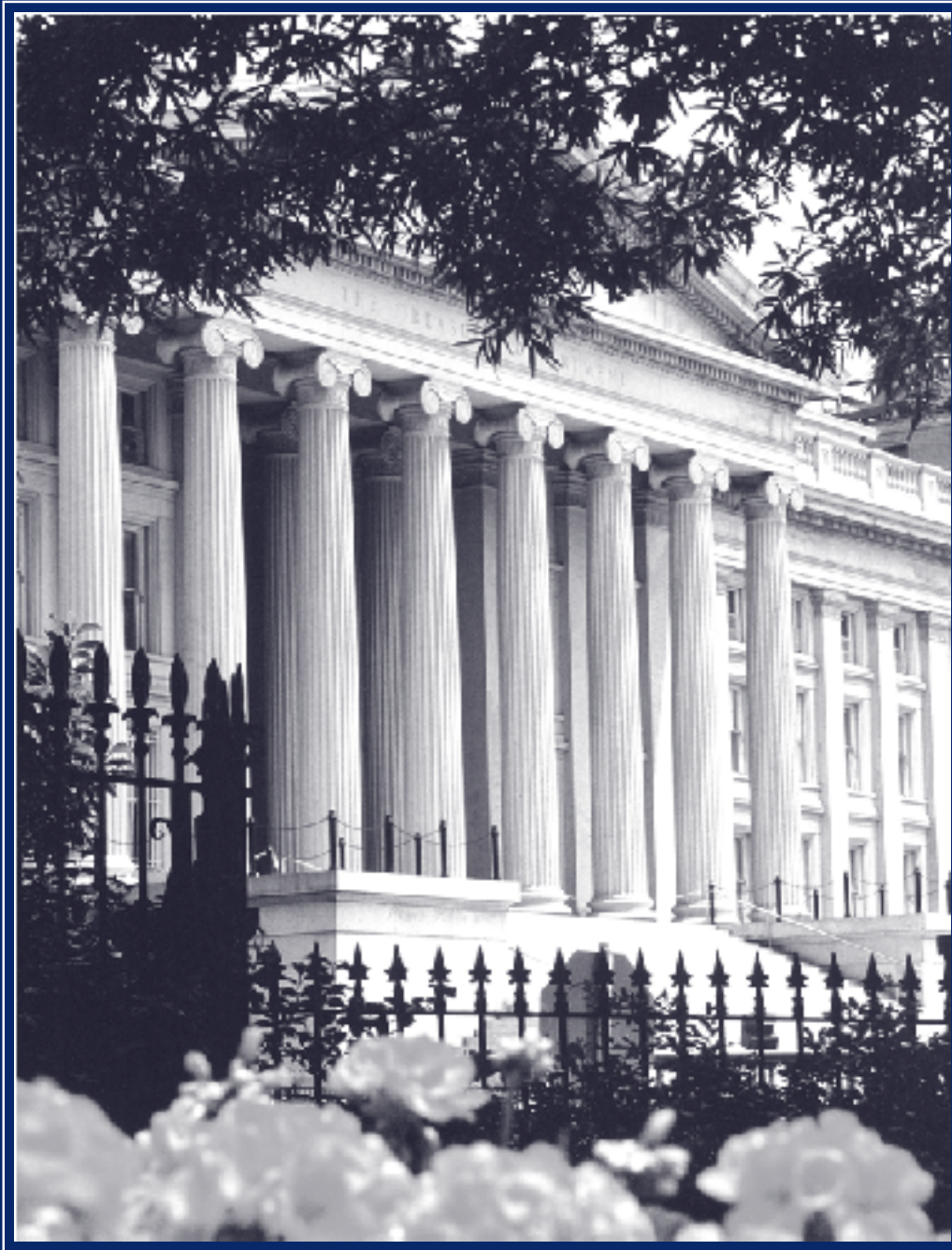


# PERFORMANCE AND ACCOUNTABILITY REPORT

Volume II

FY 2002



Department of the Treasury

## PREFACE

**Volume II** presents detailed information on Treasury's FY 2002 performance.

- The "Full Report of Treasury's FY 2002 Performance Measures by Strategic Goal" reports on all performance measures for which targets were set in the FY 2002 Performance Plan (as presented in the FY 2003 Justification for Appropriations and Performance Plans). For each performance measure, the report presents an explanation of results of the measure, performance levels for the three previous fiscal years, the performance target and actual for the report year, and performance targets for FY 2003. The report examines unrealized performance targets and presents schedules for improvement.
- A "List of Treasury's FY 2002 Performance Measures by Bureau/Major Program" provides a list of the performance measures for each Treasury bureau or major program.
- The "Completeness and Reliability of Performance Data Statement" discusses Treasury's efforts to assess the completeness and reliability of our performance data.

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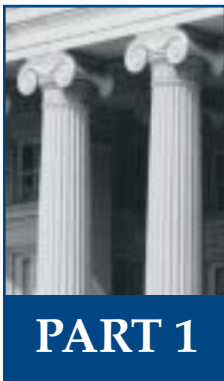
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**FULL REPORT OF TREASURY'S  
FY 2002 MEASURES BY  
STRATEGIC GOAL**

## FULL REPORT OF TREASURY'S FY 2002 MEASURES BY STRATEGIC GOAL

This section reports on all performance measures by strategic goal (and further by bureau) for which targets were set in the FY 2002 Performance Plan (as presented in the FY 2003 Justification for Appropriations and Performance Plans). For each measure, there is a definition for the measure, performance levels for three previous fiscal years (where available), performance targets and actuals for FY 2002, and performance targets for FY 2003 (where available).

### FY 2002 PERFORMANCE SUMMARY

The purpose of Treasury's strategic management effort is to improve *results* delivered to the American public. In its final performance plan for FY 2002 that the Department transmitted to Congress, as part of the FY 2003 budget, Treasury detailed its performance targets.

Overall, the Department established 224 performance targets in FY 2002. Of these, 21 measures were either baselined in FY 2002 or had no data available. Of the remaining 203 measures, Treasury met or exceeded 140 targets (69 percent), did not meet 63 of its targets (31 percent), and maintained peak performance or improved performance over FY 2001 for 113 measures.

#### Important Notes:

Actuals. Final actual data presented is in **bold**. Because of the accelerated submission of this consolidated report, some of the numbers shown in the actual column for FY 2002 are estimates at the time of publication. These are indicated in *italics*. Actual data for these measures will be presented in the FY 2004 President's Justification for Appropriations and the FY 2003 Performance and Accountability Report.

FY 2003 Targets. Projected targets for FY 2003 are presented from the FY 2003 President's Justification for Appropriations. These are shown in *italics*.

Unmet Targets. Targets which were not met are explained and include a schedule for improvement.

Baselined Measures. A number of our new FY 2002 measures were baselined (actuals determined) this year. Baselines facilitate target-setting in the future.

Discontinued Measures. Unless otherwise noted, measures which are being discontinued after FY 2002 have been replaced with more outcome-oriented measures to better gauge program success.

Measures Used in Target-Setting. Bureaus determined the performance measures and targets for their FY 2003 performance plan in early FY 2002. Targets for FY 2003 will be revised in light of progress in FY 2002 and presented in the FY 2004 President's Justification for Appropriations. In some cases measures have been reworded to clarify their intent; in other cases, measures have been added or deleted to better assess progress against strategic objectives.

For Additional Information. Information relating to the definitions and data validation for each measure can be found in the Department of the Treasury's FY 2003 Justification for Appropriations and Performance Plans and the Treasury GPR Internet site at <http://www.treas.gov/gpra>.

FY 2002 Treasury-wide Performance Summary				
Total Measures	Targets Met	Targets Not Met	Other (Baseline & Not Available)	Maximum or Improved Performance
224	140 (69%)	63 (31%)	21	113

## E1: Promote Domestic Economic Growth

### Alcohol, Tobacco & Firearms (ATF)

**Performance Measure:** *Number of corrections made to unsafe conditions and product deficiencies reported to ATF or discovered during ATF inspections*

**Definition:** Tracks the number of corrections made to unsafe conditions found in the explosives and alcohol industries, either reported to ATF or found during inspection activities.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
923	1,119	1,209	850	1,288	850

**Performance Measure:** *Number of industry seminars held on ATF-regulated commodities*

**Definition:** The number of seminars conducted with industry members, law enforcement and the public on the laws and regulations ATF enforces.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
229	175	195	175	183	175

### Community Development Financial Institutions (CDFI)

**Performance Measure:** *Amount of technical assistance grants awarded during the year (\$ in millions)*

**Definition:** This measures the dollar amount in millions of technical assistance grants awarded by the CDFI Fund to Community Development Financial Institutions to expand their ability to provide services to their communities. Awards are made to smaller CDFIs under the Sall and Emerging CDFI Assistance program (SECA) and to larger or more established CDFIs under the Core Component of the program.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
4.0	4.0	3.6	13.0	6.0	11.0

**Explanation of Shortfall:** The Native American CDFI Technical Assistance Component did not receive the expected number of applications for award, so the total amounts of awards under this component was less than expected. Since FY 2002 marks the first year in which awards were made under this program, the Fund was aware of the possibility that the projected amount of awards could differ from the actual amount of awards.

**Explanation of FY 2003 Target:** The Fund made significant changes to its performance plan by reexamining the way that the Fund achieved its mission. New outcome and impact measures will be in place for FY 2003.

**Performance Measure: Number of CDFIs receiving financial assistance by BEA applicants that submitted a final report**

**Definition:** This measure shows the number of CDFIs receiving financial assistance by all current-year Bank Enterprise Award (BEA) applicants that submitted a final report. A CDFI will only be counted once, even if it received financial assistance from more than one financial institution. Since this is an incentive program, this measure relates to applicant performance. The BEA Program provides financial incentives for financial institutions to increase the amount of their investments in distressed areas and provided to other CDFIs.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	<b>165</b>	<b>164</b>	120	<b>114</b>	120

**Explanation of Shortfall:** The FY 2002 estimates for the increase in activity, which was lower than the FY 2001 actual, was based on the assumption that available funding would decrease, as would the probability of receiving an award. As it turned out, applicants and potential applicants felt that they had a lower probability of receiving an award than the Fund anticipated. The likely cause of this perception was the low number of awardees in the Development and Services category in the FY 2001 round combined with the significant decrease in available funding for the program. As a result, the target for FY 2002 estimates for the increase in Development and Services activity as well as the number of applicants providing support to CDFIs was much higher than the actual.

**Explanation of FY 2003 Target:** The Fund made significant changes to its performance plan by reexamining the way that the Fund achieved its mission. New outcome and impact measures will be in place for FY 2003.

**Performance Measure: Number of certified CDFIs as of year-end**

**Definition:** This measures the number of community development financial institutions (CDFIs) certified by the CDFI Fund as of the end of the fiscal year.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>334</b>	<b>415</b>	<b>468</b>	495	<b>625</b>	525

**Explanation of FY 2003 Target:** The Fund made significant changes to its performance plan by reexamining the way that the Fund achieved its mission. New outcome and impact measures will be in place for FY 2003.

**Performance Measure: Number of states/territories (and District of Columbia) to date with at least one CDFI program awardee**

**Definition:** This measures the number of U.S. states and territories that have at least one CDFI awardee. It is a cumulative number, from inception of the Funds.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>49</b>	<b>52</b>	<b>53</b>	53	<b>53</b>	53

**Explanation of FY 2003 Target:** The Fund made significant changes to its performance plan by reexamining the way that the Fund achieved its mission. New outcome and impact measures will be in place for FY 2003.

<b>Performance Measure: <i>Number of organizations that receive technical assistance awards during the year</i></b>					
<b>Definition:</b> This measures the number of CDFIs that receive technical assistance grants during the year.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>88</b>	<b>87</b>	<b>84</b>	95	<b>119</b>	86
<b>Explanation of FY 2003 Target:</b> The Fund made significant changes to its performance plan by reexamining the way that the Fund achieved its mission. New outcome and impact measures will be in place for FY 2003.					
<b>Performance Measure: <i>Non-Federal matching funds raised by CDFIs during the year (\$ in millions)</i></b>					
<b>Definition:</b> This measures the dollar amount in millions of Non-Federal matching funds raised by CDFIs during the year. The Fund requires that awardees receiving CDFI financial assistance grants obtain non-Federal matching funds in the form and value similar to those provided by the Fund.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	<b>52</b>	<b>185</b>	110	<b>123</b>	105
<b>Explanation of FY 2003 Target:</b> The Fund made significant changes to its performance plan by reexamining the way that the Fund achieved its mission. New outcome and impact measures will be in place for FY 2003.					
<b>Performance Measure: <i>Number of CDFIs receiving financial assistance</i></b>					
<b>Definition:</b> Measures the number of CDFIs that received a financial assistance award during the year under the Core, Intermediary, and Small and Emerging CDFI Assistance program (SECA) components. This excludes any CDFIs receiving just a technical assistance award. The larger the number of CDFIs, the greater the impact they will have in low-income and distressed areas.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>60</b>	<b>77</b>	<b>94</b>	65	<b>74</b>	55
<b>Explanation of FY 2003 Target:</b> The Fund made significant changes to its performance plan by reexamining the way that the Fund achieved its mission. New outcome and impact measures will be in place for FY 2003.					



**Performance Measure:** *Number of BEA applicants that submitted a final report that provided financial assistance to CDFIs*

**Definition:** This measure shows the number of Bank Enterprise Award (BEA) applicants who have submitted a final report indicating they provided financial assistance to CDFIs. Since this is an incentive program, this measure relates to applicant performance.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	<b>130</b>	<b>181</b>	111	<b>83</b>	115

**Explanation of Shortfall:** The FY 2002 estimates for the increase in activity, which was lower than the FY 2001 actual, was based on the assumption that available funding would decrease, as would the probability of receiving an award. As it turned out, applicants and potential applicants felt that they had a lower probability of receiving an award than the Fund anticipated. The likely cause of this perception was the low number of awardees in the Development and Services category in the FY 2001 round combined with the significant decrease in available funding for the program. As a result, the target for FY 2002 estimates for the increase in Development and Services activity as well as the number of applicants providing support to CDFIs was much higher than the actual.

**Explanation of FY 2003 Target:** The Fund made significant changes to its performance plan by reexamining the way that the Fund achieved its mission. New outcome and impact measures will be in place for FY 2003.

**Performance Measure:** *Increase in dollar amount of community development loans, investments and services in distressed communities by BEA applicants that submitted a final report (assessment period over baseline period) (\$ in millions)*

**Definition:** This measure shows the dollar increase in millions in the investments made by financial institutions in distressed communities by all current-year Bank Enterprise Award (BEA) applicants that submitted a final report. Since this is an incentive program, this measure relates to applicant performance.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	<b>166</b>	<b>250</b>	185	<b>167</b>	100

**Explanation of Shortfall:** The FY 2002 estimates for the increase in activity, which was lower than the FY 2001 actual, was based on the assumption that available funding would decrease, as would the probability of receiving an award. As it turned out, applicants and potential applicants felt that they had a lower probability of receiving an award than the Fund anticipated. The likely cause of this perception was the low number of awardees in the Development and Services category in the FY 2001 round combined with the significant decrease in available funding for the program. As a result, the target for FY 2002 estimates for the increase in Development and Services activity as well as the number of applicants providing support to CDFIs was much higher than the actual.

**Explanation of FY 2003 Target:** The Fund made significant changes to its performance plan by reexamining the way that the Fund achieved its mission. New outcome and impact measures will be in place for FY 2003.

**Performance Measure: Dollar amount of private sector investment in community development entities resulting from New Market Tax Credit Program**

**Definition:** This new measure will show the amount of investments that Community Development Entities (CDEs) receive from the private sector. The New Markets Tax Credit Program will spur economic growth in low-income communities by providing income tax credits to CDEs. CDEs will attract investments from private investors by providing them with a tax credit equal to a percent of the amount invested. CDEs will in turn invest amounts received from the private investors in low-income communities in the form of investments and loans.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	baseline not established	baseline	baseline not established	tbd

**Explanation of Shortfall:** The Community Development Financial Fund does not anticipate CDEs being able to report any significant results of their investment in qualified activities until sometime during FY 2004, and it will be these results which will be used in determining future year performance targets. It's for this reason that the CDFI is unable to estimate with any accuracy the NMTC performance targets for FY 2003 and FY 2004. Regarding the specific performance to be measured, the Fund currently anticipates measuring the same type of performance under the NMTC program as is currently measured for the CDFI Program. These measures may be modified as CDEs report the results of their investments.

**Explanation of FY 2003 Target:** The Fund made significant changes to its performance plan by reexamining the way that the Fund achieved its mission. New outcome and impact measures will be in place for FY 2003.

**Performance Measure: Number of first-time awardees under the Technical Assistance and Small and Emerging CDFI Assistance components**

**Definition:** This measures the number of awardees that have not previously received any award from the fund and is an indicator of the number of smaller CDFIs receiving awards under the Technical Assistance and Small and Emerging CDFI Assistance (SECA) components. By definition, SECA awardees cannot have received a prior financial assistance award from the Fund, but may have received a prior technical assistance award.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	49	52	45	87	45

**Explanation of FY 2003 Target:** The Fund made significant changes to its performance plan by reexamining the way that the Fund achieved its mission. New outcome and impact measures will be in place for FY 2003.

**Performance Measure:** *Amount of financial assistance provided to CDFIs by BEA applicants that submitted a final report (\$ in millions)*

**Definition:** This measure shows the dollar amount in millions of financial assistance provided by financial institutions to CDFIs by all current-year Bank Enterprise Award (BEA) applicants that submitted a final report. Since this is an incentive program, this measure relates to applicant performance.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	244	275	148	142	150

**Explanation of Shortfall:** The FY 2002 estimates for the increase in activity, which was lower than the FY 2001 actual, was based on the assumption that available funding would decrease, as would the probability of receiving an award. As it turned out, applicants and potential applicants felt that they had a lower probability of receiving an award than the Fund anticipated. The likely cause of this perception was the low number of awardees in the Development and Services category in the FY 2001 round combined with the significant decrease in available funding for the program. As a result, the target for FY 2002 estimates for the increase in Development and Services activity as well as the number of applicants providing support to CDFIs was much higher than the actual.

**Explanation of FY 2003 Target:** The Fund made significant changes to its performance plan by reexamining the way that the Fund achieved its mission. New outcome and impact measures will be in place for FY 2003.

### Office of the Comptroller of the Currency (OCC)

**Performance Measure:** *Percent of large and mid-size banks where quarterly risk assessments are completed*

**Definition:** Regular risk assessments, particularly of large and mid-size banks, are critical to ensuring safety and soundness of the national banking system. Information gathered in the risk assessment process is used to determine the focus and scope of large and mid-size bank supervision activities. The percentage is determined by comparing the number of large and mid-size banks for which all quarterly risk assessments are completed during the fiscal year to the total number of large and mid-size banks supervised.

CY 1999 Actual	CY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	100	100	100

**Performance Measure:** *Percent of large and mid-size banks that received an annual report of examination*

**Definition:** Large and mid-size banks, because of their criticality to the overall national banking system, are supervised on a continuous basis. Issues are reported to bank management as they are identified throughout the year, and on an annual basis, a summary Report of Examination (ROE) is issued. The percentage is determined by comparing the number of large and mid-size banks that received an annual ROE during the fiscal year to the total number of large and mid-size banks supervised.

CY 1999 Actual	CY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	100	97	100

**Explanation of Shortfall:** The OCC establishes its annual target for this goal based on the statutory requirement. The OCC achieved 97 percent of its target for ROEs issued to large and mid-size banks. An ROE for 152 of the 157 large and mid-size bank charters was issued during the fiscal year. The OCC waived ROEs for the remaining five charters due to mergers that were in process or other overriding circumstances.

**Performance Measure: *Percent of community bank examinations conducted in accordance with the FDICIA-mandated schedule, exclusive of approved exceptions***

**Definition:** The percentage is derived from examinations past due divided by the number of institutions subject to FDICIA.

CY 1999 Actual	CY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>92</b>	<b>98</b>	<b>94</b>	100	<b>98</b>	<i>100</i>

**Explanation of Shortfall:** The OCC establishes its annual target for this goal based on the statutory requirement. Mitigating circumstances prevent the OCC from achieving full compliance. For example, the prioritization of resources to higher risk institutions and scheduling anomalies preclude strict compliance with the FDICIA schedule.

**Performance Measure: *Percentage of community bank examinations that are approved exceptions to the FDICIA-mandated schedule***

**Definition:** Timely and regular bank examinations are integral to ensuring safety and soundness of community banks. The OCC's target is that approved exceptions will not exceed 10% of the examinations due to be closed for the fiscal year. Exceptions are not completely within OCC's control since they are the result of significant changes to a bank's structure/operations, or the number and complexity of ongoing problem bank examinations.

CY 1999 Actual	CY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	10	<b>3</b>	<i>10</i>

**Performance Measure: *Average calendar days past due on community banks examinations that do not meet the approved exception criteria***

**Definition:** When delays in community bank examinations do not meet the approved exception criteria, the OCC's target is that these delays should not exceed an average of 15 calendar days. The number of calendar days past the scheduled close date for all community bank examinations that do not meet the approved exception criteria during the fiscal year is averaged.

CY 1999 Actual	CY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	15	<b>17</b>	<i>15</i>

**Explanation of Shortfall:** The average days delayed exceeded the target by 2 days. OCC managers will continue to monitor and manage the initiation of examinations and limit the length of delays when resources are diverted to problem banks whenever possible.

**Performance Measure: *Percent of regulations that incorporated plain language criteria***

**Definition:** Percentage of final rules issued that incorporate at least one or more of the techniques outlined in the Presidential Memorandum dated June 1, 1998.

CY 1999 Actual	CY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	<b>100</b>	100	<b>100</b>	<i>100</i>

**Performance Measure: *Percent of corporate applications processed on-time***

**Definition:** The percentage is derived from non-protested applications for which on-time performance is maintained. On-time performance is defined as processing applications within the targeted time frames the OCC has established for each application type. A targeted time frame is a specified number of calendar days -- for each application type -- from the date of receipt (or in some cases, publication of application by applicant established by OCC). On-time has variations depending on application type and if the application qualifies for expedited processing (applications filed by eligible banks qualify - with time frames specified in appropriate sections of 12 CFR 5). Targeted time frames are published by the OCC and made available for all applicants in the Comptroller's Corporate Manual.

CY 1999 Actual	CY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
95	96	96	95	96	95

**Performance Measure: *Average days to process customer complaints and consumer inquiries***

**Definition:** The number of calendar days from the date the complaint or inquiry is received to the date of final resolution is averaged.

CY 1999 Actual	CY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
45	51	46	50	44	50

**Performance Measure: *Percentage of planned training accomplished***

**Definition:** The environment in which national banks operate is subject to frequent changes due to economic, industry, legislative, political, and technological issues. A properly trained staff with current financial tools and skills is paramount to the effective delivery of OCC's mission. The percentage is determined by comparing the number of training courses planned and completed during the fiscal year to the total number of training courses planned for the fiscal year.

CY 1999 Actual	CY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	90	90	96	90

**Performance Measure: *Statement of reasonable assurance under the FMFIA and substantial compliance under the FFMIA is issued***

**Definition:** To meet the objective of an effective and efficient organization, OCC's systems of management and internal controls should be adequate and operating effectively, and financial systems should meet the requirements set forth for federal agencies. Performance is reported as "Met" if the annual statement indicates "reasonable assurance" under the Federal Managers' Financial Integrity Act and "substantial compliance" under the Federal Financial Management Improvement Act.

CY 1999 Actual	CY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	Unmet	Unmet	Meet	Met	Meet

<b>Performance Measure: <i>Percent of selected capital projects that meet funding, schedule and performance targets</i></b>					
<b>Definition:</b> Achieving targeted cost, schedule and performance when implementing major systems is key to better resource management and improved performance in the OCC. Performance is reported as “Met” if actual cost, schedule and system performance meet the fiscal year targets established in the Financial Management Information System (\$SMART) and Peoplesoft HR System workplans.					
CY 1999 Actual	CY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	<b>100</b>	100	<b>100</b>	100

### Office of Thrift Supervision (OTS)

<b>Performance Measure: <i>Percentage of thrift survey responses that rate the examination process as being "satisfactory" or "better than satisfactory"</i></b>					
<b>Definition:</b> The customer service plan for the examination process was published in 1994. When an institution receives a Safety and Soundness, Compliance, Community Reinvestment Act, or Information Systems examination, it also receives a survey form, the purpose of which is to assess OTS's performance against the customer service plan. The current survey form contains 11 questions, each measuring one aspect of the performance of the examination team. The performance measure is calculated by dividing the number of surveys that received a positive response by the number of surveys received during the period.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>98.4</b>	<b>99.0</b>	<b>98.8</b>	95.0	<b>99.7</b>	<i>tbd</i>
<b>Explanation of FY 2003 Target:</b> This measure will be discontinued in FY 2003.					
<b>Performance Measure: <i>Percentage of regulatory staff who will receive at least 30 hours of training designed to keep them current in regulatory issues and industry developments</i></b>					
<b>Definition:</b> One aspect of OTS's regulatory oversight is its focus on dynamic, needs-based employee training. OTS's new Professional Development Program enables examiners to assess their training and development needs, which in turn, identifies needed areas of training. OTS will calculate this measurement by dividing the number of regulatory staff who received at least 30 hours of training by the total number of regulatory staff.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	<b>69</b>	<b>28</b>	60	<b>65.5</b>	60
<b>Performance Measure: <i>Percentage of thrift institutions that, within sixty days of having received an unsatisfactory safety and soundness rating, are either subject to a formal or informal enforcement action or have had such action waived</i></b>					
<b>Definition:</b> OTS computes this measure by using a management report, prepared monthly, which tracks institutions that are rated 4 or 5 and also tracks whether these 4 or 5 rated institutions have received an enforcement action or decision for enforcement action within 60 days of the examination report.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>86.7</b>	<b>100</b>	<b>100</b>	100	<b>100</b>	<i>tbd*</i>
<b>Explanation of FY 2003 Target:</b> This measure will be discontinued in FY 2003.					

**Performance Measure:** *Percentage of thrift institutions that, within sixty days of having received an unsatisfactory compliance rating, are either subject to a formal or informal enforcement action or have had such waived*

**Definition:** Each institution receives a compliance rating from 1 to 5 following its compliance examination, and the ratings are entered into the Examination Data System (EDS). OTS measures this standard using a Thrift Information Management (TIM) report. OTS computes this measure by tracking institutions that have been rated 4 or 5 and also tracking whether these 4 or 5 rated institutions have received an enforcement action or decision for enforcement action within 60 days of the examination report.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>100</b>	<b>100</b>	<b>100</b>	100	<b>100</b>	<i>tbd</i>

**Explanation of FY 2003 Target:** This measure will be discontinued in FY 2003.

**Performance Measure:** *Percentage of OTS-regulated thrift institutions that are either at least adequately capitalized, operating under an approved Capital Plan or PCA Directive, have been undercapitalized for less than 150 days, or have received prior approval by the Deputy Director for exceeding the 150-day timeframe for issuance of a PCA*

**Definition:** This measure addresses both of the objectives of Prompt Corrective Action (PCA): 1) to recapitalize undercapitalized thrifts at the least cost to the deposit insurance fund; and 2) to do it "promptly." The statute requires that institutions submit capital restoration plans within 45 days of becoming "undercapitalized," and for the agency to act on the capital plan within 60 days. OTS acts on capital plans through the issuance of a PCA directive. The measurement allows 150 days from the thrift becoming "undercapitalized," to issue the PCA Directive. This time frame includes notification, capital plan submission, review, decision on the capital plan, and issuance of the Directive.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>99.9</b>	<b>100</b>	<b>100</b>	100	<b>100</b>	<i>100</i>

**Performance Measure:** *Number of service plans that met their standards divided by the total number of service plans*

**Definition:** OTS believes its primary stakeholders are the thrift institutions it charters, examines and supervises and the customers these institutions serve. Customer Service Plans for the Examination Process, Congressional Correspondence, Interpretive Opinions and Consumer Assistance have been published. Every office with a published service plan reports to the OTS Ombudsman on a quarterly basis regarding whether it is meeting its stated service standards. This measure is calculated by dividing the number of service plans that met their stated goals 80 percent of the time by the total number of service plans.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>80</b>	<b>100</b>	<b>50</b>	100	<b>80</b>	<i>tbd</i>

**Explanation of Shortfall:** At end of FY 2002, the Consumer Assistance service plan goal of resolving all complaints within 30 days was met 36.4% of the time. On average for the eleven month period, OTS resolved customer complaints within 49 days. OTS has modified the timeframe for answering complaints to 60 days in the 2003 Performance Plan to be consistent with the timeframes specified by the FDIC, OCC and Federal Reserve.

**Explanation of FY 2003 Target:** This measure will be discontinued in FY 2003.

**Performance Measure:** *Number of new partnerships formed, activities/ programs commenced or investments made as a result of training, or partnership building activities*

**Definition:** Each OTS regional office will follow up periodically with thrifts and others with whom it has worked directly (through outreach, training, partnership building and one-on-one assistance) to determine whether an investment was made, partnership was formed or activity commenced as a result of the office's work. OTS will report on those investments, partnerships or activities that it becomes aware of.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
26	28	27	26	26	tbd

**Explanation of FY 2003 Target:** This measure will be discontinued in FY 2003.

**Performance Measure:** *The number of institutions that OTS provides one-on-one technical or strategic planning assistance to in their efforts to meet their CRA obligations or expand the full range of housing, other credit and financial services to all segments of their communities*

**Definition:** Part of OTS's long term strategic goal is to support the industry's efforts to meet its CRA obligations and expand the full range of housing, other credit and financial services to all segments of their communities. Thus, OTS will offer technical assistance to each institution that receives a "Needs to Improve" or lower CRA rating. In addition, OTS will offer assistance and actively work with those institutions that want our assistance. The assistance will be offered by either the Community Affairs program staff or the Compliance Examination staff.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	baseline	91	tbd

**Explanation of FY 2003 Target:** This measure will be discontinued in FY 2003.



## E2: Maintain U.S. Leadership on Global Economic Issues

### U.S. Customs Service (Customs)

<b>Performance Measure: <i>Trade Compliance level</i></b>					
<b>Definition:</b> The Trade Compliance Rate measure is expressed as a percentage of cargo entry lines that are compliant in terms of the major transactions for the entire spectrum of imports. This measure is calculated by dividing the total number of entry lines into the estimated total number of compliance entry lines based on Compliance Measurement data.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>83</b>	<b>90</b>	<b>91</b>	Not established	--	<i>tbd</i>
<b>Explanation of FY 2002 Actual:</b> Customs has been evaluating the use of compliance measurement in the post September 11, 2001 environment. Measuring compliance with an added emphasis on homeland security will be discussed in the FY 2004 budget process.					
<b>Performance Measure: <i>Number of seizures for outbound licensing violations</i></b>					
<b>Definition:</b> The number of seizures of Outbound Licensing Violations includes the number of outbound violations of the following sets of regulations: Interdiction of Traffic and Arms Regulations; Export Administration Regulations and Office of Foreign Assets Control for economic sanctions against countries identified as hostile to US interests. The number is the number of incidents, not articles.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>1,067</b>	<b>736</b>	<b>827</b>	730	<b>882</b>	765
<b>Performance Measure: <i>Outbound enforcement targeting effectiveness</i></b>					
<b>Definition:</b> Outbound enforcement targeting effectiveness is the total number of positive examinations divided by the total number of targeted examinations. This measure captures the targeting effectiveness for all manually targeted exams recorded in the Outbound Targeting and Tracking System and all other exams targeted by the Automated Export System. Both sets of data are combined and a percentage expressed. Data supporting this measure is extracted into the Operations Management Report.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>11.5</b>	<b>9.3</b>	<b>9.54</b>	8.5	<b>9.35</b>	9.0

### Departmental Offices (DO)

<b>Performance Measure: <i>Economic conditions in developing countries</i></b>					
<b>Definition:</b> This measures the overall percent change in Gross Domestic Product (GDP) from the prior calendar year for all developing countries.					
CY 1999 Actual	CY 2000 Actual	CY 2001 Actual	CY 2002 Plan		CY 2003 Proposed Plan
			Plan	Actual	
<b>4.0</b> (revised actual)	<b>5.7</b> (revised actual)	<b>3.9</b> (revised actual)	GDP growth	4.2	<i>GDP growth</i>
<b>Explanation of CY 2002 Actual:</b> Actual data will not be available until February 2003 and will be reported in FY 2003 Performance and Accountability Report.					

<b>Performance Measure: <i>Economic conditions in the global economy</i></b>					
<b>Definition:</b> This measures the overall percent change in Gross Domestic Product (GDP) from the prior calendar year for all countries of the world.					
CY 1999 Actual	CY 2000 Actual	CY 2001 Actual	CY 2002 Plan		CY 2003 Proposed Plan
			Plan	Actual	
<b>3.6</b>	<b>4.7</b>	<b>2.2</b>	GDP growth	2.8	<i>GDP growth</i>
<b>Explanation of CY 2002 Actual:</b> Actual data will not be available until February 2003 and will be reported in FY 2003 Performance and Accountability Report.					
<b>Performance Measure: <i>Economic conditions in transitional countries</i></b>					
<b>Definition:</b> This measures the overall percent change in Gross Domestic Product (GDP) from the prior calendar year for all transitional countries.					
CY 1999 Actual	CY 2000 Actual	CY 2001 Actual	CY 2002		CY 2003 Proposed Plan
			Plan	Actual	
<b>3.7</b>	<b>6.6</b>	<b>5.0</b> (revised actual)	GDP growth	3.9	<i>GDP growth</i>
<b>Explanation of CY 2002 Actual:</b> Actual data will not be available until February 2003 and will be reported in FY 2003 Performance and Accountability Report.					
<b>Performance Measure: <i>Level of U.S. direct investment abroad (\$ in billions)</i></b>					
<b>Definition:</b> Direct investments are those where the U.S. investor owns more than 10% of the equity in a foreign company.					
CY 1999 Actual	CY 2000 Actual	CY 2001 Actual	CY 2002		CY 2003 Proposed Plan
			Plan	Actual	
<b>1,131</b>	<b>1,293</b>	<b>1,382</b>	GDP growth	<b>Not Available</b>	<i>GDP growth</i>
<b>Explanation of CY 2002 Actual:</b> Data will not be available until July 2003. Will be reported in FY 2003 Performance and Accountability Report.					
<b>Performance Measure: <i>U.S. meets current financing commitments and pays all arrears to multilateral development banks (\$ in millions)</i></b>					
<b>Definition:</b> This measures the amount of unpaid commitments (arrears) the U.S. owes to the multilateral development banks.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>335</b>	<b>451</b>	<b>499</b>	533	<b>533</b>	355
<b>Performance Measure: <i>Dollar value of U.S. exports of goods and services (\$ in billions)</i></b>					
<b>Definition:</b> This measures, in billions, the value of goods and services the U.S. exports to other countries.					
CY 1999 Actual	CY 2000 Actual	CY 2001 Actual	CY 2002		CY 2003 Proposed Plan
			Plan	Actual	
<b>957</b>	<b>1,064</b>	<b>998</b>	growth	<b>Not Available</b>	<i>growth</i>
<b>Explanation of CY 2002 Actual:</b> Actual data will not be available until February 2003 and will be reported in FY 2003 Performance and Accountability Report.					

<b>Performance Measure: <i>Economic conditions in foreign countries that are major U.S. trading partners - European Union (Euro Area)</i></b>					
<b>Definition:</b> This measures the percent change over the prior year in gross domestic product of the European Union (Euro area) - a major U.S. trading partner.					
CY 1999 Actual	CY 2000 Actual	CY 2001 Actual	CY 2002		CY 2003 Proposed Plan
			Plan	Actual	
<b>2.8</b>	<b>3.5</b>	<b>1.5</b>	GDP growth	<i>0.9</i>	<i>GDP growth</i>
<b>Explanation of CY 2002 Actual:</b> Actual data will not be available until February 2003 and will be reported in FY 2003 Performance and Accountability Report.					
<b>Performance Measure: <i>Economic conditions in foreign countries that are major U.S. trading partners - China</i></b>					
<b>Definition:</b> This measure the percent change over the prior year in gross domestic product of China - a major U.S. trading partner.					
CY 1999 Actual	CY 2000 Actual	CY 2001 Actual	CY 2002		CY 2003 Proposed Plan
			Plan	Actual	
<b>7.1</b>	<b>8.0</b> (revised actual)	<b>7.3</b>	GDP growth	<i>7.5</i>	<i>GDP growth</i>
<b>Explanation of CY 2002 Actual:</b> Actual data will not be available until February 2003 and will be reported in FY 2003 Performance and Accountability Report.					
<b>Performance Measure: <i>Economic conditions in foreign countries that are major U.S. trading partners - United Kingdom</i></b>					
<b>Definition:</b> This measures the percent change over the prior year in gross domestic product of the United Kingdom - a major U.S. trading partner.					
CY 1999 Actual	CY 2000 Actual	CY 2001 Actual	CY 2002		CY 2003 Proposed Plan
			Plan	Actual	
<b>2.4</b>	<b>3.1</b>	<b>1.9</b>	GDP growth	<i>1.7</i>	<i>GDP growth</i>
<b>Explanation of CY 2002 Actual:</b> Actual data will not be available until February 2003 and will be reported in FY 2003 Performance and Accountability Report.					
<b>Performance Measure: <i>Economic conditions in foreign countries that are major U.S. trading partners - Mexico</i></b>					
<b>Definition:</b> This measures the percent change over the prior year in gross domestic product of Mexico - a major U.S. trading partner.					
CY 1999 Actual	CY 2000 Actual	CY 2001 Actual	CY 2002		CY 2003 Proposed Plan
			Plan	Actual	
<b>3.6</b>	<b>6.6</b>	<b>-0.3</b>	GDP growth	<i>1.5</i>	<i>GDP growth</i>
<b>Explanation of CY 2002 Actual:</b> Actual data will not be available until February 2003 and will be reported in FY 2003 Performance and Accountability Report.					

<b>Performance Measure: <i>Economic conditions in foreign countries that are major U.S. trading partners - Japan</i></b>					
<b>Definition:</b> This measures the percent change over the prior year in gross domestic product of Japan - a major U.S. trading partner.					
CY 1999 Actual	CY 2000 Actual	CY 2001 Actual	CY 2002		CY 2003 Proposed Plan
			Plan	Actual	
<b>0.8</b>	<b>2.4</b>	<b>-0.3</b>	GDP growth	-0.5	<i>GDP growth</i>
<b>Explanation of CY 2002 Actual:</b> Actual data will not be available until February 2003 and will be reported in FY 2003 Performance and Accountability Report.					
<b>Performance Measure: <i>Economic conditions in foreign countries that are major U.S. trading partners - Canada</i></b>					
<b>Definition:</b> This measures the percent change over the prior year in gross domestic product of Canada - a major U.S. trading partner.					
CY 1999 Actual	CY 2000 Actual	CY 2001 Actual	CY 2002		CY 2003 Proposed Plan
			Plan	Actual	
<b>5.4</b>	<b>4.5</b>	<b>1.5</b>	GDP growth	3.4	<i>GDP growth</i>
<b>Explanation of CY 2002 Actual:</b> Actual data will not be available until February 2003 and will be reported in FY 2003 Performance and Accountability Report.					

## F1: Manage the Federal Government's Accounts

### Financial Management Service (FMS)

**Performance Measure:** *Percentage collected electronically of the total dollar amount of Federal government receipts*

**Definition:** This measure considers the percentage of government collections that are collected by electronic mechanisms (Electronic Federal Tax Payment System, Plastic Card, FEDWIRE Deposit System, Automated Clearinghouse) compared to total government collections.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>72</b>	<b>75</b>	<b>75.3</b>	80	<b>80</b>	80

**F2: Ensure All Federal Payments are Accurate and Timely****Financial Management Service (FMS)****Performance Measure: *Percentage of paper check and EFT payments made on time***

**Definition:** This measure rates the effectiveness of the payments issuance process. "On time" means that FMS releases checks to the U.S. Postal Service and electronic funds transfer (EFT) payments to the Federal Reserve Bank such that normal delivery by them will result in timely receipt by the payees. Indicator is the percent of time.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	100	100	100	100

**Performance Measure: *Percentage of paper check and EFT payments made accurately***

**Definition:** The measure is the percentage of check and electronic funds transfer (EFT) payments that FMS makes which are not duplicate or double payments.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	100	100	100	100

**Performance Measure: *FMS will adjudicate forgery and non-receipt check claims within 14 days***

**Definition:** This measure assesses the efficiency of claims processing. Adjudication is a segment of the entire process. The measure records the time it takes a claims analyst to make a determination to settle, deny or to defer a final disposition of the claim pending the receipt of additional information and/or investigative reports and reports the percent adjudicated within 14 days.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
93.5	98.2	96.5	90	98	93

**Performance Measure: *FMS will process EFT claims in one day***

**Definition:** FMS downloads electronic funds transfer (EFT) trace requests. The claims staff either mails the requests to the financial institutions or contacts the financial institutions by telephone. This contacting process takes place within one day. Indicator is the percent processed in one day.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	100	100	100	100

**Performance Measure: *FMS will make Treasury payments and associated information electronically***

**Definition:** This measure shows the percent portion of the total volume of payments, which are made electronically by FMS. Electronic payments include transfers made through the automated clearinghouse and wire transfer payments made through the FEDWIRE system.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
68	70	72*	73	73*	73

**\*Explanation of Actuals:** Does not include tax relief (rebate checks).

### F3: Provide Accurate and Timely Financial Information and Support the Government-wide Implementation of Accounting Standards

#### Financial Management Service (FMS)

<b>Performance Measure: <i>Percentage of government-wide accounting reports issued accurately</i></b>					
<b>Definition:</b> All governmentwide financial data that FMS publishes relating to U.S. Treasury cash-based accounting reports (i.e., the Daily Treasury Statement, the Monthly Treasury Statement, and the Annual Combined Report) will be 100% accurate.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	100	100	100	100
<b>Performance Measure: <i>Percentage of government-wide accounting reports issued timely</i></b>					
<b>Definition:</b> All governmentwide financial data that FMS publishes relating to U.S. Treasury cash-based accounting reports (i.e., the Daily Treasury Statement, the Monthly Treasury Statement, and the Annual Combined Report) will be on time 100% of the time.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	100	100	100	100
<b>Performance Measure: <i>Percentage of reporting ALCs of Federal organizations with central audit differences less than six months old</i></b>					
<b>Definition:</b> This measure tracks the number of reporting Agency Location Codes (ALCs) central audit (deposit/payment) differences less than six months old.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	97	95	97	95
<b>Explanation of FY 2003 Target:</b> This measure will be replaced in FY 2003 with "Percentages of Reporting Locations with Reconciliation Differences, for Deposits and Payments, Less than Four Months Old."					
<b>Performance Measure: <i>Percentage of Federal agency reports for the Financial Report of the U.S. Government processed by FMS within the established standard range</i></b>					
<b>Definition:</b> FMS collects and compiles the Federal agency financial statements for the Financial Report of the U.S. Government. The reports are processed with specified data validity checks. FMS measures its processing performance against the established standard range.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
92	98	98	100	Not Available	100
<b>Explanation for FY 2002 Actual:</b> Performance data is not available until April 2003. Will be reported in FY 2003 report.					
<b>Explanation of FY 2001 Shortfall:</b> Target was 99%. Of 132 reporting entities, 130 (or 98.48%) were consistent. There were two large reporting entities that FMS could not get to submit an Accounting Group Worksheet that the FMS considered to be consistent with their audited financial statements. After significant work with FMS' auditor, it was decided that a new approach to verifying consistency would be developed. However, this corrective action, which will ensure 100% consistency, will not be fully implemented until 2004. Therefore, the 100% target for 2002 is achievable but not guaranteed.					
<b>Explanation of FY 2003 Target:</b> This measure will be discontinued in FY 2003.					

**Performance Measure:** *FMS will receive an unqualified audit opinion on FMS' Schedule of Non-entity Assets, Non-entity Costs, Non-entity Custodial Revenues, and Schedule of Non-entity Government-wide Cash*

**Definition:** FMS receives an unqualified opinion when the Schedule of Non-entity Assets, Non-entity Costs, and Non-entity Custodial Revenues and the Schedule of Non-entity Government-wide Cash present fairly, in all material respects, the activity of the Treasury Managed Accounts that make up the schedules. The management of the Treasury accounts that make up the schedule is critical to obtaining a clean/unqualified audit opinion on the Department-wide financial statements as well as the *Financial Report of the U.S. Government*. For this reason, FMS established a performance measure for the audit opinion on FMS' financial audit.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	<b>100</b>	100	100	100



## F4: Collect Revenue Due to the Federal Government

### Alcohol, Tobacco & Firearms (ATF)

**Performance Measure:** *Taxes/fees collected from alcohol, tobacco, firearms and explosives industries (\$ in billions)*

**Definition:** This includes revenue collected through alcohol, tobacco, firearms and ammunition excise taxes, firearms and explosive license/permit fees, transfer taxes and special occupation taxes.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>12.1</b>	<b>14.1</b>	<b>14.0</b>	13.6	<b>15.1</b>	<i>14.4</i>

**Performance Measure:** *Percent of entities filing electronically*

**Definition:** The percent of alcohol, firearms, and tobacco customers and taxpayers that use electronic filing instead of paper filing.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	<b>.11</b>	1	<b>0.11</b>	<i>1</i>

**Explanation of Shortfall:** The target was not met due to information system weaknesses which do not allow for a clear audit trail for individual taxpayer deposits.

**Performance Measure:** *Taxes and fees collected per dollar of collection expense*

**Definition:** The amount of taxes and fees collected divided by the amount of resources expended to collect them.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>193</b>	<b>207</b>	<b>272</b>	200	<b>325</b>	<i>211</i>

### Financial Management Service (FMS)

**Performance Measure:** *FMS will work to increase the percentage of eligible delinquent debt referred by Federal program agencies to FMS for collection using all available collection tools*

**Definition:** The Debt Collection Improvement Act of 1996 requires that all Federal program agencies refer (with exceptions) delinquent debt over 180 days old to Treasury for offset and cross-servicing.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>71</b>	<b>83</b>	<b>89</b>	75	<b>93</b>	85

**Performance Measure:** *FMS will increase the annual collection of delinquent debt, not including Federal tax debt, by \$120 million above that collected in FY 2001 for a total of \$2.8 billion*

**Definition:** The measure provides information on the total amounts collected through debt collection tools operated by Debt Management Services. The tools include: tax refund offset, administrative offset, private collection agencies, demand letters, and credit bureau reporting. FMS also collects debt through the State debt program and tax levy.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>2.631</b>	<b>2.629</b>	<b>2.692</b>	2.600	<b>2.840</b>	<i>2.800</i>

<b>Performance Measure: Dollar amount of lockbox collections transacted through Pay.gov (\$ in billions)</b>					
<b>Definition:</b> Pay.gov is an Internet portal which will offer an electronic alternative to paper check payments to lockboxes by offering Automated Clearing House debit authorization over the Internet, thereby increasing Electronic Funds Transfer options to remitters.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	2	2	5

**Internal Revenue Service (IRS)**

<b>Performance Measure: Percentage of AUR Quality</b>					
<b>Definition:</b> Quality of all Automated Underreporter (AUR) account actions as a result of taxpayer inquiries or internal requests (paper only - post review) expressed as a percent. The AUR system identifies reporting discrepancies on filed returns.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	93	95	97	94	97

**Explanation of Shortfall:** While still 94%, quality defects have increased in comparison to the prior year. Defects are primarily attributable to Inventory Management/Case Controls, Transaction Code (Account Action), and Correspondence (IRS Procedure). The AUR sites have implemented various steps to decrease errors associated with the defects. Flyers/alerts and Job Aids addressing the errors were issued, and weekly meetings at which top errors were discussed were held with managers.

<b>Performance Measure: Number of returns closed (Coordinated Industry)</b>					
<b>Definition:</b> All Coordinated Industry corporate returns closed. A Coordinated Industry case consists of one or more tax years of the primary taxpayer (usually a large corporation return) plus all related returns examined in conjunction with the primary taxpayer.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	3,096	3,710	3,453	4,851	3,477

<b>Performance Measure: Appeals cases closed</b>					
<b>Definition:</b> This measures Appeals production and output.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
61,507	54,986	54,748	67,560	68,015	97,139

<b>Performance Measure: <i>Number of TAS cases closed</i></b>					
<b>Definition:</b> The total number of cases worked in the Taxpayer Advocate Service (TAS) and closed on the Taxpayer Advocate Management Information System.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>294,993</b>	<b>237,885</b>	<b>248,011</b>	252,289	<b>234,327</b>	256,552
<b>Explanation of Shortfall:</b> The closure target was missed because receipts were significantly lower than forecast. The original plan number was based on the assumption that case receipts would decrease approximately 1.5% from the prior year, however, TAS receipts decreased at a much higher rate.					
<b>Performance Measure: <i>ACS closures - Taxpayer Delinquent Accounts</i></b>					
<b>Definition:</b> Number of entity closures produced in the Automated Collection System (ACS) (minus systemic reductions).					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>2,874,093</b>	<b>1,532,309</b>	<b>1,006,600</b>	1,012,628	<b>950,696</b>	1,150,424
<b>Explanation of Shortfall:</b> TDA closures were impacted by 1) the suppression of notices as a result of the September 11, 2001 crisis which delayed the issuance of liens and levies on ACS inventories, 2) holiday moratorium on notices was instituted a week earlier this year compared to last year, and 3) increase in incoming calls and time spent on calls detracted from the time available to close assigned cases.					
<b>Performance Measure: <i>Electronic Federal tax payments (in millions)</i></b>					
<b>Definition:</b> Total number of electronic payments processed through the Electronic Federal Tax Payment System.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>55.3</b>	<b>63.4</b>	<b>64.4</b>	67.4	<b>66</b>	69.7
<b>Explanation of Shortfall:</b> Fiscal years 2000 and 2001 saw a 2% increase over the prior year. Based on the IRS' marketing and anticipated growth, an expected 5% increase established the original planned target of 67.4 million. The actual performance, however, stayed at the 2% growth level in line with historical growth rates.					
<b>Performance Measure: <i>Employee Plans and Exempt Organization determination letters</i></b>					
<b>Definition:</b> Cases established on the Determination System (EDS) and closed on that system regardless of type of case or type of closing. (Prior to FY 2000, cases closed on EDS that successfully posted to the Application Control System were the data source.)					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>114,598</b>	<b>109,461</b>	<b>109,326</b>	190,800	<b>129,680</b>	215,300
<b>Explanation of Shortfall:</b> Exempt Organizations (EO) closures were at the planned level, but Employee Plans (EP) determinations were substantially below plan. With the closure of the remedial plan amendment period scheduled for December 2001, EP expected to receive 120,000 determination requests in FY 2002. However, due to a two-month extension of the deadline (granted in response to September 11, 2001) and overall consolidation in the pension plan market, IRS received slightly more than half that number of applications. As a result, EP issued fewer than half of the planned 106,000 determination letters. There was a positive trend among the receipts toward more pre-approved plans. Reduced determination workload freed up resources to support other critical program goals such as the examination program.					

<b>Performance Measure: <i>Toll-free tax law quality</i></b>					
<b>Definition:</b> Percent of customers receiving accurate responses to their Tax Law inquiries.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>74.1</b>	<b>72.6</b>	<b>75.0</b>	78.0	<b>81.0</b>	82
<b>Performance Measure: <i>Percentage of individual returns filed electronically</i></b>					
<b>Definition:</b> Number of electronically filed individual tax returns divided by the total individual returns filed. Includes all returns where electronic filing is permitted (practitioner e-file, TeleFile, VITA [volunteer income tax assistance], on-line filing, federal/state returns, etc.).					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>23.4</b>	<b>28.0</b>	<b>30.7</b>	35.0	<b>36.0</b>	39.0
<b>Performance Measure: <i>Field Collection - number of cases closed - Tax Delinquent Investigations</i></b>					
<b>Definition:</b> This measure reflects actual taxpayer delinquent investigation removed from the active inventory.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>168,271</b>	<b>144,764</b>	<b>119,451</b>	107,119	<b>140,737</b>	135,941
<b>Performance Measure: <i>Toll-free level of service</i></b>					
<b>Definition:</b> This measures the relative success rate of taxpayers who are calling for our toll-free services and intend to speak with a live assistor (percent of calls to toll-free telephone assistance lines answered by customer assistor personnel).					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>53.3</b>	<b>60.6</b>	<b>56.4</b>	71.5	<b>68</b>	76.3
<b>Explanation of Shortfall:</b> Assistor level of service shows the percentage of taxpayers who want to talk to an assistor who actually reach an assistor. Level of service was negatively impacted by problems with the call routing system and several weeks with higher than anticipated call demand made up of residual rebate issues.					
<b>Performance Measure: <i>Service Center examination quality</i></b>					
<b>Definition:</b> This measures the accuracy rate of information provided to taxpayers through the Service Center Examination and Automated Substitute for Returns programs as a percentage of quality of actions taken while working service center examination cases.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>90.7</b>	<b>73</b>	<b>71</b>	74	<b>71</b>	76
<b>Explanation of Shortfall:</b> The target was missed in FY 2002 because of the large number of overage cases that were closed. Long cycle times negatively impacted the quality score. Since the overage cases were closed in FY 2002, average cycle time should drop in FY 2003 and the quality score rise accordingly.					

<b>Performance Measure: AUR Closures</b>					
<b>Definition:</b> Total number of closures of Automated Underreporter (AUR) cases. The AUR system identifies reporting discrepancies on filed returns.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>3,367,086</b>	<b>2,888,900</b>	<b>2,511,424</b>	2,919,980	<b>2,922,182</b>	2,963,730
<b>Performance Measure: Field Collection quality</b>					
<b>Definition:</b> This measures the average overall quality rating of Field Collection cases reviewed by the percentage score awarded to a reviewed Collection case by third-party reviewer using the IRS Collection Quality Measurement System quality standards.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>86.0</b>	<b>83.0</b>	<b>84.0</b>	85.4	<b>84.0</b>	86.8
<b>Explanation of Shortfall:</b> The score was slightly below the target. Defects occurred primarily in Clear Action Dates and Case Documentation.					
<b>Performance Measure: ACS level of service</b>					
<b>Definition:</b> The percentage of calls attempted (demand) compared to number of calls answered (calls which are abandoned after having been answered but while in queue for the next available assistor are not included in the count of calls answered) in Automated Collection System (ACS).					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>81</b>	<b>79</b>	<b>77</b>	80	<b>69</b>	80
<b>Explanation of Shortfall:</b> The start-up of the State Income Tax Levy Program and the Federal Payment Levy Program increased call demand, significantly affecting the workplan. Although resources were redirected, IRS was unable to meet the incoming volume. IRS is assessing the increased volume of calls and evaluating the methods used to forecast calls to better align workload to staffing. The reduced level of service also negatively impacted Customer Satisfaction.					
<b>Performance Measure: ACS closures - TDI</b>					
<b>Definition:</b> Number of Taxpayer Delinquent Investigations (TDI) entity closures produced in the Automated Collection system (ACS).					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>1,828,885</b>	<b>412,150</b>	<b>297,791</b>	317,906	<b>190,411</b>	<i>tbd</i>
<b>Explanation of Shortfall:</b> The number of TDI closures did not meet the FY 2002 plan because of a management decision in February 2002 to shift inventory priorities that resulted in a change in the mix of closures of TDAs and TDIs.					

<b>Performance Measure: <i>Field Collection - Number of cases closed - Taxpayer Delinquent Accounts</i></b>					
<b>Definition:</b> This measure reflects actual taxpayer delinquent account dispositions (removed from active inventory).					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>1,029,706</b>	<b>771,455</b>	<b>757,392</b>	804,085	<b>724,430</b>	<i>1,088,967</i>
<b>Explanation of Shortfall:</b> TDA closures were adversely impacted by a variety of factors including the suppression of notices and enforcement actions due to September 11, 2001, attacks; concentration on working higher risk cases; computer reprogramming to segment cases between Area and Territory Offices; and Service Center Workload Realignment.					
<b>Performance Measure: <i>Number of Private Letter Rulings issued</i></b>					
<b>Definition:</b> This measures the rulings by IRS Office of the Chief Counsel letters about tax treatment of particular matter before a taxpayer's return is filed. It is the total number of Private Letter Rulings (PLRs) completed by the Office. PLRs are written statements that address specific, tax-related issues pertaining to the taxpayer and the IRS about tax treatment of particular matters before a taxpayer's return is filed. They reduce taxpayer burden, eliminate controversy, and enhance voluntary compliance, even before the taxpayer is involved. Private letter ruling is the largest single program in Chief Counsel.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	<b>1,913</b>	<b>2,428</b>	2,000	<b>2,896</b>	<i>2,100</i>
<b>Performance Measure: <i>Number of Taxpayer Advocacy projects</i></b>					
<b>Definition:</b> This measures the total number of Operating Division Taxpayer Advocate projects which an operational issue is identified that adversely affects a group of taxpayers.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	<b>91</b>	<b>92</b>	88	<b>63</b>	88
<b>Explanation of Shortfall:</b> Taxpayer Advocate Services (TAS) originally planned to open 88 projects in FY 2002. However, TAS only opened 67 because they focused on the quality and impact of their projects instead of the raw number opened.					
<b>Performance Measure: <i>Toll-free accounts quality</i></b>					
<b>Definition:</b> This measures the percent of customers receiving accurate responses to their account inquiries in administrative accuracy (internal) and customer satisfaction (external).					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>81.7</b>	<b>60.0</b>	<b>69.2</b>	72.0	<b>74.0</b>	78

<b>Performance Measure: <i>Field Examination case quality score</i></b>					
<b>Definition:</b> This measures the score awarded to reviewed Field Examination cases by a third-party reviewer on meeting quality standards. The percent score awarded to a reviewed Field Examination case by a third-party reviewer using the IRS Examination Quality Measurement System quality standards.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>65</b>	<b>57</b>	<b>70</b>	72	<b>73</b>	72
<b>Performance Measure: <i>TAS casework quality index</i></b>					
<b>Definition:</b> This measures the average percent quality rating of Taxpayer Advocate Service (TAS) cases reviewed. A tool to measure effectiveness in meeting customer expectations based on a random sample of cases reviewed and scored against customer service standards of timeliness, accuracy, and communication.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>79.0</b>	<b>65.3</b>	<b>72.0</b>	80.0	80.0	90.0
<b>Performance Measure: <i>Individual Return Examinations greater than \$100,000</i></b>					
<b>Definition:</b> Number of Individual (Form 1040) returns closed through a time period from the beginning of the fiscal year with a total positive income or total gross receipts greater than \$100,000.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>94,759</b>	<b>63,217</b>	<b>50,827</b>	54,468	<b>60,894</b>	78,048
<b>Performance Measure: <i>Individual return examinations less than \$100,000</i></b>					
<b>Definition:</b> Number of individual (Form 1040) returns closed through a time period from the beginning of the fiscal year with a total positive income or total gross receipts less than \$100,000.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>289,725</b>	<b>187,891</b>	<b>145,144</b>	122,313	<b>139,576</b>	157,844
<b>Performance Measure: <i>Total individual returns</i></b>					
<b>Definition:</b> This measures the total of individual return examinations both less than \$100,000 and greater than \$100,000. Combined count of the number of individual (Form 1040) returns closed through a time period from the beginning of the fiscal year with a total positive income or total gross receipts less than or greater than \$100,000.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>384,484</b>	<b>251,108</b>	<b>195,971</b>	176,781	<b>200,470</b>	235,892
<b>Performance Measure: <i>Number of returns examined (Business and General Industry)</i></b>					
<b>Definition:</b> All industry returns closed (includes all classes of returns).					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>137,893</b>	<b>103,112</b>	<b>84,748</b>	81,369	<b>85,190</b>	109,556

<b>Performance Measure: <i>Number of cases examined (Coordinated Industry)</i></b>					
<b>Definition:</b> The number of regular Coordinated Industry cases closed during the period ("R1" cases: not including claim cases, cases returned from Appeals, or non-examined closures). A Coordinated Industry case consists of one or more tax years of the primary taxpayer (usually a large corporate return) plus all related returns examined in conjunction with the primary taxpayer.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>416</b>	<b>328</b>	<b>417</b>	566	<b>528</b>	570
<b>Explanation of Shortfall:</b> IRS planned to close 566 Coordinated Industry Cases (CIC) in FY 2002 while implementing a staff year reduction in this program. These savings were to be redirected to priority work such as tax shelters and claims. CIC cases are very complex and do not close evenly across the year. IRS had projected a significant number of case closings in June and July. While these months were the best months this year (102 cases closed), IRS still fell short of the target.					
<b>Performance Measure: <i>Employee Plans/Exempt Organizations examination cases closed</i></b>					
<b>Definition:</b> The number of Employee Plan and Exempt Organization return examinations of all types closed.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>22,525</b>	<b>19,080</b>	<b>15,988</b>	11,900	<b>13,549</b>	12,300
<b>Performance Measure: <i>Employee Plans/Exempt Organizations examination quality</i></b>					
<b>Definition:</b> The percentage level of quality in IRS Exempt Organization Examination services using the Tax Exempt Quality Measurement System.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	<b>83</b>	<b>73</b>	81	<b>75</b>	83
<b>Explanation of Shortfall:</b> IRS established aggressive goals to improve the quality of examinations over FY 2001 results. Though still short of its goal, EP made significant improvements in quality through site visits by Quality Review staff to address quality concerns and distribution of Frequently Asked Questions to all employees. EO, on the other hand, continued to have problems with targeted elements of Examination Planning, Examination Scope and Workpapers, despite actions to share best practices and incorporate quality goals into Area managers' performance plans.					
<b>Performance Measure: <i>Criminal investigations completed</i></b>					
<b>Definition:</b> This measure includes all subject criminal investigations completed by Criminal Investigation during the fiscal year. This includes investigations that resulted in a criminal prosecution recommendation to the Department of Justice as well as investigations that were discontinued due to a lack of evidence or to a finding that the original allegation was false.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	3,280	<b>3,201</b>	3,150
<b>Explanation of Shortfall:</b> IRS achieved approximately 98 percent of its year-end plan for total investigations completed, a significant accomplishment in light of redirection of resources to the war on terrorism. IRS also shifted criminal investigation inventory mix, reducing the time spent on narcotics related investigations, and increasing the resources dedicated to income tax related investigations.					



## F5: Cost-Effectively Finance the Government's Operations

### Bureau of Public Debt (BPD)

<b>Performance Measure:</b> <i>Issue 95 % of over-the-counter savings bonds in three weeks</i>					
<b>Definition:</b> Customers can purchase savings bonds directly from more than 40,000 financial institution locations throughout the country.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
99.75	99.07	99.97	99.95	99.95	99.95
<b>Performance Measure:</b> <i>Complete 90% of customer service transactions within three weeks</i>					
<b>Definition:</b> Savings bonds have been sold for more than 60 years and our customer service goal is to provide timely customer service.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	90.0	98.3	90
<b>Performance Measure:</b> <i>Conduct 100% of marketable securities auctions without error</i>					
<b>Definition:</b> The integrity of the auction process is paramount to the successful conduct of our financing operations. The Treasury securities market expects that the auctions will be conducted flawlessly and that the results will always be accurate.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
100	100	100	100.0	97.9	100
<b>Explanation of Shortfall:</b> On the week of February 4, 2002, four auctions accepted noncompetitive tenders that were not paid for. This resulted in a press release issued on February 19 acknowledging the error. As there will be 189 auctions conducted in FY 2002, our performance estimate will be 97.9 percent (185/189).					
<b>Performance Measure:</b> <i>Announce auction results within 25 minutes 95% of the time</i>					
<b>Definition:</b> To maintain an efficient market for Treasury securities and to minimize uncertainty in these markets, it is crucial that our securities auctions be completed and the results announced as quickly as possible.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	95	99.4	95
<b>Performance Measure:</b> <i>Complete 90% of TREASURY DIRECT customer service transactions in three weeks</i>					
<b>Definition:</b> BPD is responsible for providing quality customer service to approximately 800,000 TREASURYDIRECT investors who have purchased Treasury bills, notes and bonds. Investor transaction requests vary from straightforward account changes to complex changes in ownership.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
98.32	96.97	99.70	90.00	99.70	90.00

<b>Performance Measure: <i>Make 100% of TREASURY DIRECT interest and redemption payments timely</i></b>					
<b>Definition:</b> Customers invest in Treasury securities with the expectation that the U.S. Government will make payments when due. Timely payments bolster investor confidence and ensure the Treasury securities remain an attractive investment option.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>100</b>	<b>100</b>	<b>100</b>	100	<b>100</b>	100
<b>Performance Measure: <i>Make 99.9% of TREASURY DIRECT interest and redemption payments accurately</i></b>					
<b>Definition:</b> As custodians of our TREASURYDIRECT customers' investments, it is our job to correctly calculate and deliver payments to them. Virtually all of our payments are calculated automatically by our automated systems.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>100</b>	<b>100</b>	<b>100</b>	99.9	<b>100</b>	99.9
<b>Performance Measure: <i>Make 100% of Commercial Book Entry interest and redemption payments timely and accurately</i></b>					
<b>Definition:</b> More than \$3 trillion of Treasury's outstanding debt is maintained in accounts on the Commercial Book Entry system. Over 300,000 interest and redemption payments totaling \$2.3 trillion a year are made through Treasury's Commercial Book Entry system. Billions of dollars in transactions affecting payments can occur up to close of business the day prior to payment date. Customers rely on the commercial book entry system to credit their accounts at the opening of business on the payment day accurately.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>100</b>	<b>100</b>	<b>100</b>	100	<b>100</b>	100
<b>Performance Measure: <i>Process 99.9% of Government Securities Investment Program transactions accurately</i></b>					
<b>Definition:</b> Federal Program Agencies contact us daily to request investments and redemption for more than 200 trust and deposit funds that participate in the Federal Government Securities Investment Program.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>99.90</b>	<b>99.98</b>	<b>99.99</b>	99.90	<b>99.90</b>	99.9
<b>Performance Measure: <i>Process 100% of Government Securities Investment Program transactions timely</i></b>					
<b>Definition:</b> Federal Program Agencies contact us daily to request investments and redemption for more than 200 trust and deposit funds that participate in the Federal Government Securities Investment Program.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>100</b>	<b>100</b>	<b>100</b>	100	<b>100</b>	100

**Departmental Offices (DO)**

**Performance Measure:** *Percentage of borrowing policies and borrowing requirements announced to financial market participants in a timely manner*

**Definition:** This measure is important as the best price for Treasury securities is obtained when Treasury provides information to financial market participants with sufficient lead-time to avoid surprises (risk and uncertainty). BPD then conducts the auction at the announced time.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>100</b>	<b>100</b>	<b>100</b>	100	<b>99.4</b>	<i>100</i>

**Explanation of Shortfall:** The target was not met due to delays caused by the debt ceiling issues.

## F6: Improve the Efficiency of Production Operations and Maintain the Integrity of U.S. Coins and Currency

### Bureau of Engraving & Printing (BEP)

#### Performance Measure: *Manufacturing costs for currency*

**Definition:** This measures the dollar cost per thousand notes produced, an indicator of currency manufacturing efficiency and effectiveness of program management. This standard is developed annually based on the past year's performance, contracted price factors, and anticipated productivity improvements. Actual performance comparison against the standard depends on BEP's ability to meet annual spoilage, efficiency, and capacity utilization goals established for this product line.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>25.87</b>	<b>22.65</b>	<b>23.88</b>	25.00	<b>30.03</b>	27.50

**Explanation of Shortfall:** Actual reflects change in program mix requested by the Federal Reserve in May 2002, which occurred after the target was set. The Federal Reserve System amended its order to reduce the amount of \$1 notes and increased the amount of the higher cost of New Currency Design notes by an equivalent amount.

#### Performance Measure: *Manufacturing costs for stamps*

**Definition:** This measures the dollar cost per thousand stamps produced, an indicator of postage stamp manufacturing efficiency and effectiveness of program management. This standard is developed annually based on the past year's performance, contracted price factors, and anticipated productivity improvements. Actual performance compared against standard depends on BEP's ability to meet annual spoilage, efficiency and capacity utilization goals established for this product line. BEP reports on the 100 stamp flag coil product line because it is the major stamp product produced by the Bureau.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>1.31</b>	<b>1.46</b>	<b>1.31</b>	1.56	<b>1.48</b>	<i>discontinued</i>

**Explanation of FY 2003 Target:** Measure discontinued in FY 2003 due to declining stamp production.

#### Performance Measure: *Percent of Federal Reserve orders met as requested*

**Definition:** This measures BEP's ability to meet customer order delivery schedules. The Federal Reserve considers this measure satisfied when complete shipments of finished currency are received in the Federal Reserve vault where it is held prior to final distribution to Federal Reserve district banks.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>100</b>	<b>100</b>	<b>100</b>	100	<b>100</b>	100

#### Performance Measure: *Percent of U.S. Postal Service orders met as requested*

**Definition:** This measures BEP's ability to meet customer order delivery schedules. The customer considers this measure satisfied if all postage product lines (i.e. coils, books, sheets) are shipped by BEP in accordance with shipping/ordering instructions received by BEP directly from Post Masters.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>100</b>	<b>100</b>	<b>100</b>	100	<b>100</b>	100

<b>Performance Measure:</b> <i>Number of notes returned by Federal Reserve due to manufacturing defects per million notes produced</i>					
<b>Definition:</b> This measures the Bureau's ability to provide quality products to our customer. The measure refers to any manufacturing flaw which the Federal Reserve determines renders the note unsuitable for circulation.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>0.0219</b>	<b>1,956</b>	<b>0.009</b>	0.025	<b>0.006</b>	0.025
<b>Performance Measure:</b> <i>Number of stamps returned by U.S. Postal Service due to manufacturing defects per million stamps delivered</i>					
<b>Definition:</b> This measures the Bureau's ability to provide quality products to our customer. The measure refers to any manufacturing flaw that the Postal Service determines to be unacceptable measure discontinued in FY 2003 due to declining stamp production.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>0.03365</b>	<b>0.71530</b>	<b>0.00050</b>	0.10000	<b>0.02000</b>	<i>discontinued</i>
<b>Performance Measure:</b> <i>Number of notes returned by Federal Reserve because of counterfeit deterrent defects per million notes delivered</i>					
<b>Definition:</b> This measures BEP's ability to provide effective counterfeit deterrent products. This measure focuses on manufacturing flaws related to counterfeit deterrent features of new design currency. In FY 2003, the measure will be rolled up into the "Notes returned by the Federal Reserve due to manufacturing defects" measure.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>0.0453</b>	<b>4,619</b>	<b>0.029</b>	0.0500	<b>0.0142</b>	<i>discontinued</i>
<b>Performance Measure:</b> <i>Currency shipment discrepancies per million notes</i>					
<b>Definition:</b> This measures BEP's ability to provide effective product security and accountability. This measure refers to product overages or underages of as little as a single currency note in shipments of finished notes to the Federal Reserve Banks.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>0.0092</b>	<b>0.0012</b>	<b>0</b>	0.0100	<b>0</b>	0.0100
<b>Performance Measure:</b> <i>Change in productivity from prior year</i>					
<b>Definition:</b> This measures manufacturing efficiency by using Bureau of Labor Statistics methodology to calculate the increase or decrease in productivity from one year to the next.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>15.9</b>	<b>-15.6</b>	<b>-16.6</b>	-10	<b>-6.3</b>	0

**Performance Measure: *Postage stamp shipment discrepancies per million stamps***

**Definition:** This measures BEP's ability to provide effective product security and accountability. Because stamp products are packaged and sold to the Postal Service in varying subject sizes (e.g. 100 stamps per coil, 20 stamps per sheetlet, etc.) a discrepancy of one stamp coil could translate to a reportable discrepancy of 100 stamps.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>14.00</b>	<b>8.00</b>	<b>5.81</b>	20.00	<b>2.11</b>	<i>discontinued</i>

**Performance Measure: *Unqualified audit opinion***

**Definition:** This measure represents an assessment by an independent, certified public accounting firm of the integrity of the Bureau's revolving fund and the reliability of financial data used for managerial decision-making (target: unqualified opinion).

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>Met</b>	<b>Met</b>	<b>Met</b>	Meet	<b>Met</b>	<i>Meet</i>

**Performance Measure: *Maintain/Upgrade ISO Certification***

**Definition:** This ISO Certification signifies that the certified organization follows a rigorous quality control program under stringent international standards. ISO certification provides current and future Bureau customers assurance that our currency-manufacturing program will deliver high quality security products.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	Meet	<b>Met</b>	<i>Meet</i>

**U.S. Mint (Mint)****Performance Measure: *Frequency of time meeting a minimum, seasonal-adjusted inventory level***

**Definition:** This measure is used to evaluate the Mint's ability to meet the minimum inventory levels required by the Federal Reserve Bank (FRB), including inventory levels sufficient to respond rapidly to seasonal changes in levels of economic activity. Data to measure performance is obtained from the Mint and FRB coin inventory reports.

\*This measure will be discontinued in FY 2003.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	<b>100</b>	<b>100</b>	100	<b>72</b>	<i>100*</i>

**Explanation of Shortfall:** Quarter, half, and dollar coin inventories have been at or above target 100% of the time. Penny, nickel, and dime inventories have had periods when they did not meet targeted levels, however, inventories remained sufficiently high as to not create disruptions in the supply chain. At no time was the nation's coin supply at risk as all orders for coin from the Mint were fulfilled on time. As of the end of September, all denominations were at or above target inventory levels. The Mint is working closely with the FRB to improve demand and other forecasting and to develop better measures to assess success.

<b>Performance Measure: <i>Numismatic contribution margin for non-bullion</i></b>					
<b>Definition:</b> This measure compares the Numismatic contribution margin -- defined here as the excess of sales less all expenses other than General and Administrative (G&A) -- for non-bullion, as a percentage of non-bullion sales. The Mint uses this measure to evaluate how well this program covers G&A expenses. *This measure will be discontinued in FY 2003.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
22	32	24	15	22	15*
<b>Performance Measure: <i>Dollar losses of Reserve Value</i></b>					
<b>Definition:</b> Dollar losses of reserve value compares the market value of annual losses with the market value of the protected monetary assets held by the Mint. The Mint's goal is to provide a level of security commensurate with changing threats to protect Mint human and physical resources and the assets of the United States. *This measure will be discontinued in FY 2003.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
0	0	0	0	0	0*
<b>Performance Measure: <i>Percent of recurring coin products shipped within standard</i></b>					
<b>Definition:</b> This measure is used to evaluate the timeliness in filling customer orders. The published turnaround time standard is three weeks for recurring coin products. The Mint continues to focus on customer service by accelerating order fulfillment. The Mint does a weekly order fulfillment analysis of coin orders shipped to customers within 2, 3, 4, and 5 weeks. This analysis allows the Mint to determine how often coin orders are shipped within the published turnaround time standards. *This measure will be discontinued in FY 2003.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	90	85	98	88	98*
<b>Explanation of Shortfall:</b> The Mint implemented a new online catalog, a new centralized pick and pack product distribution facility, and a new integrated customer relationship management system in the 4 <sup>th</sup> quarter of FY 2001 to better serve customers. Performance early in FY 2002 was negatively impacted by start-up problems from this major implementation. In FY 2003, the Mint will continue to focus on improving service to customers. Efforts to increase efficiency by improving forecasting and production planning and tracking yield, cycle time, and inventory turnover will result in a more nimble Mint with the ability to quickly serve customers.					

**Performance Measure: *Percentage of commemorative coins shipped within standard***

**Definition:** This measure is used to evaluate the timeliness in filling customer orders. The published turnaround time standard is four weeks for commemorative programs. The Mint continues to focus on customer service by accelerating order fulfillment. The Mint does a weekly order fulfillment analysis of coin orders shipped to customers within 2, 3, 4, and 5 weeks. This analysis allows the Mint to determine how often coin orders are shipped within the published turnaround time standards.

\*This measure will be discontinued in FY 2003.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	87	89	98	95	98*

**Explanation of Shortfall:** The Mint implemented a new online catalog, a new centralized pick and pack product distribution facility, and a new integrated customer relationship management system in the fourth quarter of FY 2001 to better serve customers. Performance early in FY 2002 was negatively impacted by start-up problems related to these new programs. In FY 2003, the Mint will continue to focus on improving service to customers. Efforts to improve efficiency by improving forecasting and production planning and tracking yield, cycle time, and inventory turnover will result in a more nimble Mint with the ability to quickly serve customers.

**Performance Measure: *Numismatic contribution margin for bullion***

**Definition:** This measure compares the Numismatic contribution margin -- defined here as the excess of sales less all expenses other than G&A -- for bullion, as a percentage of bullion.

\*This measure will be discontinued in FY 2003.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
1.7	1.9	-0.2	2.0	3.0	2.0*

**Performance Measure: *Conversion cost to produce 1000 coin equivalents***

**Definition:** This measure is used to indicate the cost-efficiency of the Mint's circulating coinage production. The coin equivalent methodology assigns a weighting for each denomination based on the resources it takes to make the coin from blank or coin strip. This measure is calculated by multiplying the shipment of coins for each denomination by the equivalency factor resulting with equivalized coin production. Total costs to produce coins are then divided by the equivalized production to derive the weighted average cost.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
9.87	7.50	8.33	8.97	11.50	9.30*

**Explanation of Shortfall:** The result was caused by unexpected low demand for circulating coinage resulting from a slow economy in FY 2002.

\*This measure is being discontinued in FY 2003 and the Mint is developing a similar measure which will encompass all products that the Mint produces, including circulating and numismatic coins.



## LE1: Reduce Violent Crime and the Threat of Terrorism

### Alcohol, Tobacco & Firearms (ATF)

<b>Performance Measure: <i>Crimes related costs avoided (\$ in billions)</i></b>					
<b>Definition:</b> The estimated costs saved by incarcerating armed career criminals and firearms traffickers.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
1.05	1.56	2.54	3.62	3.90	4.58
<b>Performance Measure: <i>Number of future crimes avoided</i></b>					
<b>Definition:</b> The projected number of firearms crimes avoided by incarcerating armed career criminals and firearms traffickers. Crimes avoided are projected over the length of the defendant's sentences.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
542,560	743,706	1,223,000	1,574,000	1,596,000	1,992,000
<b>Performance Measure: <i>Number of firearms trace requests</i></b>					
<b>Definition:</b> The number of firearms trace requests submitted to ATF during the fiscal year.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
209,126	209,369	232,272	230,000	241,000	240,000
<b>Performance Measure: <i>Number of persons trained in IVRS</i></b>					
<b>Definition:</b> This measure reflects the number of non-ATF personnel trained in ATF's Integrated Violence Reduction Strategy (IVRS), including training in areas of firearms, arson and explosives.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	6,839	6,000	18,929	6,000
<b>Performance Measure: <i>NRT customer satisfaction rating</i></b>					
<b>Definition:</b> This measure reflects customer satisfaction with the Nation Response Team (NRT) deployments to arson and explosive incidents based on written on survey results.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	97	90	95	90
<b>Performance Measure: <i>Average trace response time (in calendar days)</i></b>					
<b>Definition:</b> The average number of calendar days it takes ATF to complete a firearm trace request from the time the search is entered into the tracing system to the final disposition.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
11.4	10.2	12.8	12.8	12.2	12.8

**U.S. Customs Service (Customs)**

<b>Performance Measure: <i>Number of seizures for outbound licensing violations</i></b>					
<b>Definition:</b> The number of seizures of Outbound Licensing Violations includes the number of outbound violations of the following sets of regulations: Interdiction of Traffic and Arms Regulations; Export Administration Regulations and Office of Foreign Assets Control for economic sanctions against countries identified as hostile to US interests. The number is the number of incidents, not articles.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>1,067</b>	<b>736</b>	<b>827</b>	730	<b>882</b>	765
<b>Performance Measure: <i>Counterterrorism Qualitative Assessment</i></b>					
<b>Definition:</b> This measure provides a narrative assessment of Customs efforts to identify, disrupt, and dismantle organizations that further terrorist activity.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	Meet	<b>Met</b>	<i>Meet</i>
<b>Explanation of FY 2002 Actual:</b> As discussed in the narrative section of the report, Customs contributed to the fight against terrorism through much-improved targeting effectiveness and strategic deployment of resources. Outbound licensing violations disclosed by Customs inspectors and monetary/property seizures (resulting from high impact cases) exceeded plan levels.					

**Departmental Offices (DO)**

<b>Performance Measure: <i>Increase the number of U.S. assets frozen and the number of U.S. transactions blocked of terrorist financing individuals or organizations by 10% from the baseline year</i></b>					
<b>Definition:</b> This measures the number of terrorist organization assets that have been frozen and the number of transactions that have been blocked during the fiscal year. The number frozen and blocked is an indicator of the overall success Treasury law enforcement bureaus are having in current financing available to terrorists.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	baseline	<b>30.4</b>	<i>tbd</i>
<b>Explanation of FY 2002 Actual:</b> It includes Taliban assets blocked, and later released to the Afghan Interim Authority and certain amounts blocked, then later released under specific licenses relating to legal representation or other approved purposes.					
<b>Performance Measure: <i>Percentage of terrorist organization accounts frozen of those identified during the fiscal year</i></b>					
<b>Definition:</b> This measures the percentage of accounts seized from the terrorist organizations that were identified during a fiscal year.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	baseline	<b>100</b>	<i>tbd</i>

## LE2: Combat Money Laundering and Other Financial Crimes

### U.S. Customs Service (Customs)

<b>Performance Measure: Total monetary instrument seizures (\$ in millions)</b>					
<b>Definition:</b> The value of all forms of monetary instruments (e.g., currency, bank accounts, traveler's checks, negotiable bonds, etc.) seized within the territorial jurisdiction of the United States (or in foreign pre-clearance locations) by or with the participation of Customs officers, as reported in the Customs Law Enforcement Activity Report of the Seized Asset and Case Tracking System.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
329.7	204.1	162.0	95.0	274.3	95.0
<b>Explanation:</b> Increased monetary seizures are attributable to enhanced anti-money laundering investigations and antiterrorism activity stemming from September 11, 2001.					
<b>Performance Measure: Value of property seized (\$ in millions)</b>					
<b>Definition:</b> The monetary value of tangible property (e.g., real estate, vehicles, jewelry) seized within the territorial jurisdiction of the U.S. (or in foreign pre-clearance locations) by or with the participation of Customs officers, in association with financial crime investigations, as recorded in the Customs Case Management System.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
30.4	42.1	19.3	25.5	36.7	31.7

### Financial Crimes Enforcement Network (FinCEN)

<b>Performance Measure: Average time to process a civil penalty case measured in years</b>					
<b>Definition:</b> This measure monitors progress in reducing the average processing time for civil penalty matters from a 1997 baseline of 4.23 years.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
2.0	1.8	1.8	1.8	1.5	1.7
<b>Performance Measure: Percentage of law enforcement customers satisfied with FinCEN's investigative analytical reports</b>					
<b>Definition:</b> This measure ascertains whether our Federal law enforcement customers are satisfied with FinCEN's analytical reports.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	baseline not established	baseline	79	tbd

**Performance Measure:** *Percentage of financial industry customers satisfied with FinCEN's analytical products that provide feedback on the use and utility of Bank Secrecy Act data*

**Definition:** This measure ascertains the value of specialized products as reported by our customers.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	baseline	<b>baseline not established</b>	<i>tbd</i>

**Explanation:** The survey instrument is being developed by the American Bankers Association and was not administered in FY 2002.

### U.S. Secret Service (USSS)

**Performance Measure:** *Percent of cases accepted for Federal prosecution*

**Definition:** This measure reports the percentage of defendants prosecuted in Federal court relative to the total number of prosecutions at all judicial levels. The goal is to increase the percentage of defendants prosecuted at the Federal level by presenting cases consistent with national crime suppression strategies.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>48</b>	<b>50</b>	<b>54</b>	50	<b>58</b>	<i>50</i>

**Performance Measure:** *Potential Financial Crime Loss (\$ in billions)*

**Definition:** This measure reports an estimate of the direct dollar losses prevented due to Secret Service intervention or interruption of a criminal venture. This estimate is based on the likely amount of financial crime, in the short term that would have occurred had the offender not been identified or the criminal enterprise disrupted.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>1.4</b>	<b>1.0</b>	<b>1.4</b>	1.5	<b>2.6</b>	<i>1.5</i>

**Performance Measure:** *Counterfeit notes passed on to the public - U.S. (\$ in millions)*

**Definition:** This measure reports the total amount of counterfeit currency passed on to the public within the U.S. The measure is calculated using the face value of the counterfeit currency reported.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>39.2</b>	<b>39.7</b>	<b>47.5</b>	45.0	<b>42.9</b>	<i>45.0</i>

<b>Performance Measure: <i>Actual financial crime loss (\$ in millions)</i></b>					
<b>Definition:</b> This measure reports the actual dollar loss involved in financial crime cases investigated and closed by the Secret Service.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>499</b>	<b>379</b>	<b>663</b>	535	<b>506</b>	535
<b>Explanation of Shortfall:</b> The target was not met due to the redirection of resources to the protection mission. Since September 11 <sup>th</sup> , 2001, the Service has had a dramatic increase in its protective responsibility, resulting in a decrease of financial crime cases worked by field agents. The Secret Service focused on high impact financial crime cases and as a result both <i>Potential Financial Crime Loss</i> and <i>Percentage of Federal Prosecutions</i> measures exceeded FY 2002 targets.					
<b>Performance Measure: <i>Counterfeit passed per million dollars of genuine U.S. currency (in dollars)</i></b>					
<b>Definition:</b> This measure is an indicator of the proportion of counterfeit currency relative to the amount of genuine U.S. currency in circulation.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>78</b>	<b>76</b>	<b>84</b>	83	<b>68</b>	83
<b>Performance Measure: <i>Counterfeit notes passed on to the public - overseas (\$ in millions)</i></b>					
<b>Definition:</b> This measure reports the total amount of counterfeit currency passed on to the public overseas. The measure is calculated using the face value of the counterfeit currency reported.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>1.4</b>	<b>1.4</b>	<b>1.5</b>	5.0	<b>1.3</b>	5.0
<b>Performance Measure: <i>Percent Financial Crime with Foreign Nexus</i></b>					
<b>Definition:</b> This measure is an estimate of financial crime committed against United States citizens or institutions by individuals or groups having a known international connection.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	baseline	<b>9</b>	<i>tbd</i>
<b>Performance Measure: <i>Percent of Counterfeit Notes passed on the Public with Foreign Nexus</i></b>					
<b>Definition:</b> This measure is an estimate of foreign-originated counterfeit United States currency passed on the American public.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	baseline	<b>48</b>	<i>tbd</i>

<b>Performance Measure: <i>U.S. Attorneys' Assessments</i></b>					
<b>Definition:</b> This measure represents a systematic review of U.S. Attorneys' feedback related to Secret Service investigative jurisdictions and performance. Coverage includes: case quality, professionalism, responsiveness, etc. The results are based on sample surveys of U.S. Attorneys.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	baseline	<b>84.2</b>	<i>tbd</i>
<b>Performance Measure: <i>Industry Response Survey</i></b>					
<b>Definition:</b> This measure represents a needs assessment for law enforcement intervention in the financial crime area, based on sample surveys of selected financial industries.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	baseline	<b>Baseline not established</b>	<i>tbd</i>
<b>Explanation of Shortfall:</b> The Secret Service did not implement this measure. More relevant measures are being considered. A new strategic objective in the Secret Service's updated strategic plan necessitates a substitution of this measure.					

### Treasury Forfeiture Fund (TFF)

<b>Performance Measure: <i>Percent of forfeited cash proceeds resulting from high-impact cases</i></b>					
<b>Definition:</b> Measures the percentage of forfeited cash proceeds resulting from high-impact cases (those with asset seizures in excess of \$100,000). This measure is calculated by dividing the total amount of forfeited cash proceeds from cases greater than \$100,000 by the total amount of forfeited cash proceeds for all cases. Focusing on strategic cases and investigations which result in high-impact seizures will affect the greatest damage to criminal organizations while accomplishing the ultimate objective - to punish and deter criminal activity.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	<b>78.54</b>	75.00	<b>73</b>	<i>75.00</i>
<b>Explanation of Shortfall:</b> In FY 2002, a total of \$172.2 million in revenue was deposited into the Forfeiture Fund, which is considerably lower than previous years' deposits due to the redirection of law enforcement investigative efforts to Homeland Security related activities. Some 73 percent of the forfeited cash resulted from high-impact cases, just short of the target goal of 75 percent, indicating that the focus while limited is remaining on strategic cases.					

### LE3: Protect Our Nation's Borders and Major International Transportation Terminals From Traffickers and Smugglers of Illicit Drugs

#### U.S. Customs Service (Customs)

<b>Performance Measure: <i>Narcotics seizures - cocaine (number of seizures)</i></b>					
<b>Definition:</b> The number of incidents of cocaine seized within the territorial jurisdiction of the U.S. (or in pre-clearance locations) by or with the participation of Customs officers, as reported in the Customs Law Enforcement Activity Report of the Seized Asset and Case Tracking System.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>2,519</b> (revised actual)	<b>2,487</b> (revised actual)	<b>2,698</b>	2,778	<b>2,533</b>	2,861
<b>Explanation of Shortfall:</b> At the time when narcotic seizure estimates were projected, the lasting impact of the heightened state of alert resulting from September 11, 2001, was not known. Initially, the heightened state of alert increased drug seizures at the border, however, smuggling methodologies and trends constantly change. Customs enforcement efforts are both a catalyst in forcing that change and an end result toward meeting the challenge of the changing patterns. Smugglers constantly seek ways to counter Customs enforcement efforts, and in return, Customs seeks ways to thwart the smugglers ever-changing methods.					
<b>Performance Measure: <i>Narcotics seizures - cocaine (thousands of pounds)</i></b>					
<b>Definition:</b> The amount of cocaine seized within the territorial jurisdiction of the U.S. (or in pre-clearance locations) by or with the participation of Customs officers, as reported in the Customs Law Enforcement Activity Report of the Seized Asset and Case Tracking System.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>160.4</b>	<b>150</b>	<b>190.9</b>	200.3	<b>167.8</b>	210.3
<b>Explanation of Shortfall:</b> At the time when narcotic seizure estimates were projected, the lasting impact of the heightened state of alert resulting from September 11, 2001, was not known. Initially, the heightened state of alert increased drug seizures at the border, however, smuggling methodologies and trends constantly change. Customs enforcement efforts are both a catalyst in forcing that change and an end result toward meeting the challenge of the changing patterns. Smugglers constantly seek ways to counter Customs enforcement efforts, and in return, Customs seeks ways to thwart the smugglers ever-changing methods.					
<b>Performance Measure: <i>Narcotics seizures - cocaine (pounds per seizure)</i></b>					
<b>Definition:</b> The average amount of cocaine seized within the territorial jurisdiction of the U.S. (or in pre-clearance locations) by or with the participation of Customs officers, as reported in the Customs Law Enforcement Activity Report of the Seized Asset and Case Tracking System.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>63.9</b>	<b>60.3</b>	<b>70.8</b>	72.1	<b>66.2</b>	73.5
<b>Explanation of Shortfall:</b> At the time when narcotic seizure estimates were projected, the lasting impact of the heightened state of alert resulting from September 11, 2001, was not known. Initially, the heightened state of alert increased drug seizures at the border, however, smuggling methodologies and trends constantly change. Customs enforcement efforts are both a catalyst in forcing that change and an end result toward meeting the challenge of the changing patterns. Smugglers constantly seek ways to counter Customs enforcement efforts, and in return, Customs seeks ways to thwart the smugglers ever-changing methods.					

<b>Performance Measure: <i>Narcotics seizures - heroin (number of seizures)</i></b>					
<b>Definition:</b> The number of incidents of heroin seized within the territorial jurisdiction of the U.S. (or in pre-clearance locations) by or with the participation of Customs officers, as reported in the Customs Law Enforcement Activity Report of the Seized Asset and Case Tracking System.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>911</b>	<b>859</b>	<b>916</b>	943	<b>967</b>	971
<b>Performance Measure: <i>Narcotics seizures - heroin (thousands of pounds)</i></b>					
<b>Definition:</b> The amount of heroin seized within the territorial jurisdiction of the U.S. (or in pre-clearance locations) by or with the participation of Customs officers, as reported in the Customs Law Enforcement Activity Report of the Seized Asset and Case Tracking System.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>1.9</b>	<b>2.6</b>	<b>3.6</b>	3.8	<b>4.1</b>	4.0
<b>Performance Measure: <i>Narcotics seizures - heroin (pounds per seizure)</i></b>					
<b>Definition:</b> The average amount of heroin seized within the territorial jurisdiction of the U.S. (or in pre-clearance locations) by or with the participation of Customs officers, as reported in the Customs Law Enforcement Activity Report of the Seized Asset and Case Tracking System.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>2.1</b>	<b>3.0</b>	<b>3.9</b>	4.0	<b>4.2</b>	4.1
<b>Performance Measure: <i>Narcotics seizures - marijuana (number of seizures)</i></b>					
<b>Definition:</b> The number of incidents of marijuana seized within the territorial jurisdiction of the U.S. (or in pre-clearance locations) by or with the participation of Customs officers, as reported in the Customs Law Enforcement Activity Report of the Seized Asset and Case Tracking System.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>15,705</b> (revised actual)	<b>14,876</b> (revised actual)	<b>14,587</b>	15,024	<b>13,404</b>	15,474
<b>Explanation of Shortfall:</b> At the time when narcotic seizure estimates were projected, the lasting impact of the heightened state of alert resulting from September 11, 2001, was not known. Initially, the heightened state of alert increased drug seizures at the border, however, smuggling methodologies and trends constantly change. Customs enforcement efforts are both a catalyst in forcing that change and an end result toward meeting the challenge of the changing patterns. Smugglers constantly seek ways to counter Customs enforcement efforts, and in return, Customs seeks ways to thwart the smugglers ever-changing methods.					



<b>Performance Measure: <i>Narcotics seizures - marijuana (thousands of pounds)</i></b>					
<b>Definition:</b> The amount of marijuana seized within the territorial jurisdiction of the U.S. (or in pre-clearance locations) by or with the participation of Customs officers, as reported in the Customs Law Enforcement Activity Report of the Seized Asset and Case Tracking System.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>1,147.6</b>	<b>1,291.5</b>	<b>1,503.9</b>	1,579.1	<b>1,374.1</b>	1,658.0
<b>Explanation of Shortfall:</b> At the time when narcotic seizure estimates were projected, the lasting impact of the heightened state of alert resulting from September 11, 2001, was not known. Initially, the heightened state of alert increased drug seizures at the border, however, smuggling methodologies and trends constantly change. Customs enforcement efforts are both a catalyst in forcing that change and an end result toward meeting the challenge of the changing patterns. Smugglers constantly seek ways to counter Customs enforcement efforts, and in return, Customs seeks ways to thwart the smugglers ever-changing methods.					
<b>Performance Measure: <i>Narcotics Seizures - marijuana (pounds per seizures)</i></b>					
<b>Definition:</b> The average amount of heroin seized within the territorial jurisdiction of the U.S. (or in pre-clearance locations) by or with the participation of Customs officers, as reported in the Customs Law Enforcement Activity Report of the Seized Asset and Case Tracking System.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>73.1</b>	<b>86.9</b>	<b>103.1</b>	105.1	<b>102.5</b>	107.1
<b>Explanation of Shortfall:</b> At the time when narcotic seizure estimates were projected, the lasting impact of the heightened state of alert resulting from September 11, 2001, was not known. Initially, the heightened state of alert increased drug seizures at the border, however, smuggling methodologies and trends constantly change. Customs enforcement efforts are both a catalyst in forcing that change and an end result toward meeting the challenge of the changing patterns. Smugglers constantly seek ways to counter Customs enforcement efforts, and in return, Customs seeks ways to thwart the smugglers ever-changing methods.					
<b>Performance Measure: <i>Targeting efficiency: air travel</i></b>					
<b>Definition:</b> This measure compares the number of violations found during targeted selective examinations to a random sample.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>8.8</b>	<b>15.4</b>	<b>15.7</b>	10	<b>29.1</b>	10.5
<b>Explanation:</b> Targeting efficiency has improved post September 11, 2001. Data is now automatically captured.					
<b>Performance Measure: <i>Targeting efficiency: vehicles</i></b>					
<b>Definition:</b> This measure compares the number of violations found during targeted selective examinations to a random sample.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>8.3</b>	<b>11.1</b>	<b>18.3</b>	11	<b>23.8</b>	11.5
<b>Explanation:</b> Targeting efficiency has improved post September 11, 2001. Data is now automatically captured and entered into the land border secondary inspection system.					

**Performance Measure: *Compliance rate: air travel***

**Definition:** This measures the percent of air passengers in compliance with all Federal, State and local laws and regulations. The percent of compliant passenger data is a statistically valid estimate of the percentage of passengers approaching the port-of-entry that are not in violation of any laws, rules, regulations, or agreements enforced by Customs. The rate of compliance is determined by estimating the total number of violations present in the population of air passengers approaching the port-of-entry and dividing it by the total number of air passengers subject to random sampling at the port-of-entry.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>97.40</b>	<b>98.40</b>	<b>98.43</b>	99.00	<b>98.9</b>	99.00

**Explanation of Shortfall:** This goal is considered met. Small deviations in data can be expected.

**Performance Measure: *Compliance rate: vehicles***

**Definition:** The percent of compliant passenger data is a statistically valid estimate of the percentage of vehicles approaching the port-of-entry that are not in violation of any laws, rules, regulations, or agreements enforced by Customs. The rate of compliance is determined by estimating the total number of violations present in the population of vehicles approaching the port-of-entry and dividing it by the total number of vehicles subject to random sampling at the port-of-entry.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>97.6</b>	<b>99.5</b>	<b>99.3</b>	99.0	<b>99.7</b>	99.0

**Performance Measure: *APIS rate***

**Definition:** The percentage of non-pre-cleared flights with passenger data provided prior to arrival to Customs by Advance Passenger Information System (APIS). APIS is a cooperative effort between Federal Inspection Service agencies and the airline industry, designed to provide effective narcotics interdiction while efficiently processing compliant passengers. The rate is computed by comparing the number of names transmitted via APIS with the number of arriving passengers.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>79</b>	<b>81</b>	<b>85</b>	100	<b>94</b>	100

**Explanation of Shortfall:** The goal was set after legislation was passed mandating advanced information on inbound international flights. Since that time, Customs has evaluated this measure and has redefined the definition to address the quality of information being transmitted.

**Performance Measure: *Number of short landings***

**Definition:** This measures the number of landings made by suspect aircraft short of the U.S. border due to Customs deterrence efforts.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>913</b>	<b>1,149</b>	<b>1,338</b>	1,150	<b>958</b>	1,250

**Explanation of Shortfall:** In FY 2002, Customs realigned its assets in the Southwest Border to focus on 2 high drug smuggling areas in Mexico, the Baja and Sonora regions. In response to this "in-country" effort, 98 percent of all short landings recorded were enforced in these 2 regions. As Customs was able to deter a greater percentage of flights from approaching the U.S. Border because of its in-country presence in Mexico, the decrease in short landings represents a positive performance indicator.

**Performance Measure: *Number of no launches***

**Definition:** This measures the percentage of times Customs is unable to launch an aircraft or vessel. A no launch report is filed anytime a pilot or marine enforcement officer is unable to launch their aircraft/vessel in support of a mission. The measure is derived by dividing the number of no-launch reports by the total number of launch requests.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>13.9</b>	<b>14.5</b>	<b>29.0</b>	15.5	<b>30.4</b>	<i>16.5</i>

**Explanation of Shortfall:** The target was not met due to crew unavailability (29 percent), aircraft maintenance issues (32 percent), weather (31 percent), and aircraft capability issues (7 percent). While the projection to fill most of the pilot shortages by the end of FY 2002 is expected to decrease the no launch rate in FY 2003 and FY 2004, maintenance issues will continue to have a negative impact until Customs fleet is fully modernized.

## LE4: Protect Our Nation's Leaders and Visiting Dignitaries

### U.S. Secret Service (USSS)

Performance Measure: <i>Percentage of instances protectees arrive and depart safely</i>					
<b>Definition:</b> This measure reports the percentage of travel stops where the protectee safely arrives and departs. A stop is generally considered a city or other definable subdivision visited by a protectee.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
100	100	100	100	<b>100</b>	100

## LE5: Provide High-Quality Training for Law Enforcement Personnel

### Federal Law Enforcement Training Center (FLETC)

<b>Performance Measure:</b> <i>Percentage of requested training classes held within 15 days of the requested start date</i>					
<b>Definition:</b> The percentage of classes that have been requested by the agencies that begin within 15 days of the start date requested by the agency.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	85	<b>95.9</b>	85
<b>Performance Measure:</b> <i>Percentage of students that express satisfactory or higher ratings on the Student Quality of Training Survey</i>					
<b>Definition:</b> The percentage of students that are satisfied with the training they receive.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	90	<b>99.3</b>	90
<b>Performance Measure:</b> <i>Percentage of Partner Organizations that express satisfactory or higher ratings on the PO Satisfaction Survey</i>					
<b>Definition:</b> The percentage of Participating Organizations (POs) that are satisfied with FLETC's training.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	85	<b>97.5</b>	85
<b>Performance Measure:</b> <i>Percentage of students that express satisfactory or higher ratings on the Student Quality of Services Survey</i>					
<b>Definition:</b> The percentage of students that are satisfied with the services they receive while in training.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	<b>99.6</b>	90	<b>99.7</b>	90
<b>Performance Measure:</b> <i>Cost of a student week of basic training (\$)</i>					
<b>Definition:</b> The total cost of training to the FLETC divided by the total number of basic student-weeks trained. This measure reflects how well the FLETC employs its allocated resources.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	<b>927</b>	927	<b>803</b>	983

## M1: Support the Achievement of Business Results

### Departmental Offices (DO)

<b>Performance Measure:</b> <i>Percentage of performance targets met by Domestic Finance bureaus (BPD, FMS, and CDFI)</i>					
<b>Definition:</b> The Under Secretary for Domestic Finance has direct oversight of these bureaus and the CDFI Fund. Success in this measure is predicated upon success by the bureaus in meeting their published performance measures.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>73</b>	<b>83</b>	<b>88</b>	90	<b>83</b>	90
<b>Explanation of Shortfall:</b> Of the 37 measures for which targets were set, 29 were met. BPD missed one target, CDFI missed 5 targets, and will not have results for one measure until 2004, and one FMS measure will not have data until April 2003. Actuals on these items will be reported upon in the FY 2003 performance report. Detailed explanations and corrective actions are found in the explanations of BPD and CDFI measures.					
<b>Performance Measure:</b> <i>Percentage of performance targets met by enforcement bureaus and major offices (USCS, ATF, USSS, FLETC, FinCEN, TFF)</i>					
<b>Definition:</b> The Under Secretary for Enforcement has direct oversight over the Treasury law enforcement bureaus and works to assure their goals and measures are in conformance with policy. This measure reflects the success of this oversight.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>64</b>	<b>77</b>	<b>79</b>	85	<b>69</b>	85
<b>Explanation of Shortfall:</b> Of the 51 measures for which targets were set, 35 were met. The reasons for the shortfalls (16 unmet targets) varied but over half of them were due to reduced marijuana and cocaine narcotic seizures (amount and numbers of seizures), which accounted for 6 unmet targets, and increased attrition rates resulting from opportunities in new homeland security posts, which accounted for 3 unmet targets.					
<b>Performance Measure:</b> <i>Percentage of new IT capital investments that are within costs, on schedule, and meeting performance targets</i>					
<b>Definition:</b> Under the Clinger-Cohen Act, new IT investments must be selected, controlled, and evaluated using appropriate investment criteria established by the Treasury Investment Review Board. Treasury's system for tracking these criteria is the Information Technology Investment Portfolio System.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>baseline established</b>	<b>Unmet (data not available)</b>	<b>Unmet (data not available)</b>	100	<b>50</b> (full data not available)	100
<b>Explanation of Shortfall:</b> Many bureaus did not submit sufficient or detailed enough data for this percentage. Bureaus provided incomplete performance measures, often not providing actuals against these measures, and/or did not document appropriate milestones and associate valid costs and schedules (with actuals) with each milestones. In FY 2003, Treasury will hold training sessions for each bureau on these requirements, along with other OMB reporting requirements. These sessions will be targeted towards bureau program and project staff.					

<b>Performance Measure: <i>Percentage of contract dollars over \$25,000 that are competed</i></b>					
<b>Definition:</b> This measures whether Treasury makes the maximum use of full and open competitive procedures in order to obtain the best value for the Government and to promote fairness in the marketplace in accordance with the Competition in Contracting Act of 1984.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
86.7	93.8	89.0	77.0	90.1	80
<b>Performance Measure: <i>Percentage of contract dollars awarded to small business enterprises</i></b>					
<b>Definition:</b> This measures whether Treasury ensures that a fair proportion of its dollars for purchases, contracts and subcontracts for products and services are awarded to small businesses.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
35.7	32.1	34.0	28.0	28.0	28.0
<b>Performance Measure: <i>Percentage of service contract dollars that are awarded using a performance-based contracting method</i></b>					
<b>Definition:</b> The usage of performance-based contracting in accordance with governmentwide reforms. Performance-based contracting requires structuring of all aspects of the acquisition around the purpose of the work to be performed as opposed to how the work is to be performed or broad and imprecise statements of work.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	20	34.9	30
<b>Performance Measure: <i>Percentage of universal access to Department-wide financial analysis and reporting system</i></b>					
<b>Definition:</b> This measures Department-wide use of purchased financial reporting software package to produce reliable and timely financial statements which can undergo the scrutiny of an independent audit.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	8	100	100	100	100
<b>Performance Measure: <i>Percentage of submissions that are timely and contain quality data</i></b>					
<b>Definition:</b> This measures the percentage of bureaus and reporting entities whose data is input to Treasury's financial management system (TIER) within 3 days of the end of each month and meets all systems edits.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
50	90	84 (revised actual)	100	100	100

**Performance Measure: *Delivery date of Treasury-wide financial statement and audit opinion (FY 2002 Target: February 27, 2002/Unqualified)***

**Definition:** This measures the quality of Treasury's prior year financial statements in terms of the opinion rendered as a result of an independent audit.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>Qualified</b>	<b>Unqualified</b>	<b>Unqualified</b> (Feb. 27, 2002)	Unqualified (Feb 27, 2003)	<b>Unqualified</b> (Nov. 15, 2002)	<i>Unqualified</i>

**Performance Measure: *Number of open material weaknesses***

**Definition:** Treasury wants to reduce and eventually eliminate the material weaknesses that currently exist within Treasury, while simultaneously taking actions which will serve to avoid new material weaknesses. Material weaknesses are significant problems with an organization's systems' reliability; controls on waste, fraud or abuse; mission performance; and/or compliance with laws and regulations, identified, identified by the General Accounting Office, Treasury's Inspectors General, and/or Treasury bureaus.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>49</b>	<b>32</b>	<b>29</b> (revised actual)	15	<b>20</b>	<i>10</i>

**Explanation of Shortfall:** Seven new weaknesses were identified at the end of the fiscal year. Efforts in FY 2003 will focus on mitigating these weaknesses.

**Performance Measure: *Percent of bureaus in compliance with FFMIA systems requirements***

**Definition:** This measures the percentage of Treasury bureaus that are in compliance with the Federal Financial Improvement Act of 1996 (FFMIA) financial systems requirements.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>54</b>	<b>54</b>	<b>72</b> (revised actual)	77	<b>72</b>	<i>80</i>

**Explanation of Shortfall:** Corrective actions were not completed to the extent planned for non-compliant bureaus, and an additional bureau became compliant at the end of the fiscal year. Treasury will focus on completing corrective actions in FY 2003.

**Performance Measure: *Percentage of all IT systems that are currently certified and accredited to operate***

**Definition:** Under the Clinger-Cohen Act, new Information Technology (IT) investments must be selected, controlled, and evaluated using appropriate investment criteria established by the Treasury Investment Review Board. Treasury's system for tracking these criteria is the Information Technology Investment Portfolio System.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	<b>7</b>	<b>15.5</b>	65	<b>32</b>	<i>70</i>

**Explanation of Shortfall:** While seven bureaus exceeded the department-wide goal of 65% (five of those reaching 100%), several other bureaus did not begin the certification and accreditation process early enough in the fiscal year to register results. During FY 2003, Treasury will focus on GISRA Compliance Programs within each bureau, and will conduct site visits to facilitate the process and verify reported results. Treasury will set a new target at 100% for this measure.



**Performance Measure: *Percentage of new non-IT capital investments (over \$1,000,000) meeting costs, schedule, and performance targets***

**Definition:** New non-IT assets must meet cost, schedules, and performance goals for which they were acquired. Investment criteria to be established by the Treasury Capital Investment Review Board.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	baseline	<b>baseline not established</b>	<i>tbd</i>

**Explanation of Shortfall:** In FY 2002, Treasury identified the population of non-information technology assets that were "new" (had not had funding identified in previous fiscal years, as identified from having an Exhibit 300 prepared). The first year of funding for these four assets would be fiscal year 2003 or beyond. The cost, schedule and performance goals associated with these assets are projected for attainment in fiscal years 2003 through 2010. Data is not available to determine if the performance measure has been met for this fiscal year.

**Performance Measure: *Percentage of applicable contract opportunities that will be posted on the governmentwide point-of-entry Web site, FedBizOpps***

**Definition:** Federal Business Opportunities, also known as FedBizOpps or FBO, is the Federal government's designated electronic Web site for the commercial marketplace to find all contract opportunities required to be advertised by Federal procurement rules.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	100	<b>100</b>	<i>discontinued</i>

**Performance Measure: *Percentage of key Treasury information systems security personnel who assess security training as "effective"***

**Definition:** Three major documents provide nationally-accepted, vetted training guidelines for Information Systems Security staff.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	baseline	<b>Unmet</b>	<i>tbd</i>

**Explanation of Shortfall:** During FY 2002, this measure was superseded by OMB through GISRA reporting requirements. This Act requires agencies to conduct annual enterprise-wide reviews of all IT security program elements (including IT security training) based on OMB-defined metrics. Since training metrics are now tracked through this process, this measure was discontinued.

**Performance Measure: *Percentage of FTE on the FAIR Act inventory that will be competed for potential contracting out to the private sector in accordance with A-76 procedures***

**Definition:** The percentage of FTEs competed will be determined by dividing the number of FTEs competed by the number of FTEs cited in the FAIR Act inventory.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	5	<b>0.71</b>	<i>15</i>

**Explanation of Shortfall:** Treasury did not complete studies on 416 FTEs in FY 2002 in anticipation of the potential impact of reorganization caused by the creation of the Department of Homeland Security and challenges encountered with the A-76 process. Treasury will continue to aggressively pursue the President's goals through training, developing and building infrastructure, conferences, consulting services, and conducting A-76 studies.

<b>Performance Measure: <i>Increase the percentage of allegations of discrimination for which Alternative Dispute Resolution processes are used</i></b>					
<b>Definition:</b> To increase opportunities for early resolution of discrimination complaints, the Department uses Alternate Dispute Resolution processes.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	15	<b>19</b>	20
<b>Performance Measure: <i>Percentage of Treasury bureaus implementing plans to address skills gaps and succession plans to address anticipated turnover in key leadership positions</i></b>					
<b>Definition:</b> This measures the percentage of Treasury bureaus that have developed and implemented adequate strategies to determine skill gaps anticipated during the next five years in mission critical occupations. They must also have an adequate succession strategy in place to anticipate and fill behind vacancies in key leadership positions during the next five years.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	50	<b>80</b>	100

**Treasury Building/Annex Restoration and Renovation (TBARR)**

<b>Performance Measure: <i>Implement Phase 2 of the building modernization program (target: award contract)</i></b>					
<b>Definition:</b> This measures award of the construction contract for Phase 2. This measure was completed in FY 2001. A new measure developed for the next phase of the project.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	<b>Award Contract</b>	Performed Contract	<b>Met</b>	<i>discontinued</i>
<b>Performance Measure: <i>Implement Phase 3 of the building modernization program</i></b>					
<b>Definition:</b> This measures award of the construction contract option for Phase 3.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	Award Contract	<b>Unmet</b>	<i>Perform Contract</i>
<b>Explanation of Shortfall:</b> Hidden conditions (primarily asbestos) encountered in Phase 1 extended each subsequent phase. Treasury originally planned to execute Phase 3 in the last quarter of FY 2002, however, it will now be executed in the first quarter of FY 2003 (assuming Treasury is not under a Continuing Resolution at the time of option exercise).					

**Treasury Franchise Fund**

**Performance Measure:** *Total revenue equals or exceeds total expenses for each franchise operation for each fiscal year*

**Definition:** This profitability measure shows whether franchise operations' revenue exceed or is equal to expenses to provide self-sustaining operations.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>Positive</b>	<b>Positive</b>	<b>Positive</b>	Positive	<b>Positive</b>	<i>Positive</i>

**Performance Measure:** *Current ratio (current assets divided by current liabilities)*

**Definition:** This ratio represents the number of times current assets will pay current liabilities.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>1.4</b>	<b>1.5</b>	<b>1.3</b>	1.5	<b>1.4</b>	<i>1.5</i>

**Explanation of Shortfall:** As the Franchise Fund increases its equity position, and based on its current liquidity, the ratio that the Fund will need to maintain a healthy organization will decrease over time. In this instance, liabilities would ultimately put the Fund in a position of having to turn over funds to the General Fund. Therefore, as soon as practicable, this ratio needs to be revised downward as the Fund has less liquidity risks to meet current obligations as the Fund matures.

**Performance Measure:** *Percentage change in total sales dollars from prior year*

**Definition:** This measure indicates the growth or decline in the amount of sales dollars year over year. It is calculated by using sales dollars (current year) divided by sales dollars (prior year).

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>72</b>	<b>20</b>	<b>36</b>	20	<b>41</b>	<i>11</i>

**Performance Measure:** *Number of management control deficiencies identified as defined in Circular A-123 and reporting requirements referenced therein*

**Definition:** Management controls, as defined in Circular A-123, are the organization, policies, and procedures used by agencies to reasonably ensure that: (1) programs achieve their intended results; (2) resources are used consistent with agency mission; (3) programs and resources are protected against waste, fraud, and mismanagement; (4) laws and regulations are followed; and (5) reliable and timely information is obtained, maintained, reported and used for decision making.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>0</b>	<b>0</b>	<b>0</b>	0	<b>0</b>	<i>0</i>

**Performance Measure:** *100% voluntary program participation*

**Definition:** This measure indicates the commitment of the Fund to assure that customer are free to exit agreements made with the Fund. There are no mandatory requirements for any customer to use the services of the Franchise Businesses.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>100</b>	<b>100</b>	<b>100</b>	100	<b>100</b>	<i>100</i>

<b>Performance Measure: <i>Unqualified Annual Financial Statement audit opinion from independent external auditors for the Treasury Franchise Fund</i></b>					
<b>Definition:</b> This measure indicates that external auditors have provided an opinion on the reasonable assurance about whether the financial statements are free of material misstatement.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>Met</b>	<b>Met</b>	<b>Met</b>	Meet	<b>Met</b>	<i>Meet</i>
<b>Performance Measure: <i>Percentage change in total number of customers serviced from prior year</i></b>					
<b>Definition:</b> This measure indicates the growth or decline in customer count from the prior years. It is calculated by using customers serviced (current year) divided by customers serviced (prior year).					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>1</b>	<b>7</b>	<b>14</b>	10	<b>18</b>	9

**Treasury Inspector General for Tax Administration (TIGTA)**

<b>Performance Measure: <i>Number of taxpaying entities for whom tax administration is improved as a result of audit recommendations made during the fiscal year (in millions)</i></b>					
<b>Definition:</b> This measures the total number of taxpaying entities for whom rights and entitlements are protected, taxpayer burden is reduced or privacy and security over sensitive taxpayer data is improved because of audit recommendations made in audit reports issued during a fiscal year.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>9.1</b>	<b>11.3</b>	<b>16.0</b>	14.0	<b>7.5</b>	<i>14.0</i>
<b>Explanation of Shortfall:</b> TIGTA did not meet its FY 2002 GPRA performance measure goals for several reasons including (1) a limited amount of historical baseline data for establishing the goals, (2) conservative techniques for quantifying audit results, and (3) the unpredictability of individual audit results. During FY 2003, TIGTA will continue to refine its goal-setting process to more accurately reflect expected performance based on an increasing amount of actual historical data. In addition, TIGTA will continue to emphasize the use of audit methodologies (e.g., statistical sampling) that yield quantifiable audit results that can be projected to the taxpayer base.					

**Performance Measure: Total potential increased revenue or revenue protected as a result of audit recommendations made during the fiscal year (\$ in billions)**

**Definition:** This measures the total potential government revenue from either increased tax, interest and penalties from taxpayers or denied refunds, identified in final audit reports issued during the fiscal year. This includes assessment or collection of additional taxes (increased revenue), or prior denial or claims for refund, including recommendations that prevent erroneous refunds or efforts to defraud the tax system (revenue protection).

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>0.58</b>	<b>1.40</b>	<b>13.70</b>	1.20	<b>730m</b>	<i>1.2</i>

**Explanation of Shortfall:** TIGTA did not meet its FY 2002 GPRA performance measure goals for several reasons including (1) a limited amount of historical baseline data for establishing the goals, (2) conservative techniques for quantifying audit results, and (3) the unpredictability of individual audit results. During FY 2003, TIGTA will continue to refine its goal-setting process to more accurately reflect expected performance based on an increasing amount of actual historical data. In addition, TIGTA will continue to emphasize the use of audit methodologies (e.g., statistical sampling) that yield quantifiable audit results that can be projected to the taxpayer base.

**Performance Measure: Percentage of closed investigations that meet the PCIE investigative quality standards**

**Definition:** This measures the number of investigations meeting President's Council for Integrity and Efficiency (PCIE) standards divided by the total number of investigations sampled during the fiscal year. It is based on a sample of closed investigation.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	<b>98</b>	90	<b>97</b>	90

**Performance Measure: Potential monetary benefits from audit recommendations made during the fiscal year (\$ in millions)**

**Definition:** This measures the total questioned costs and funds that could be put to better use identified in audit reports issued in a fiscal year.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>192</b>	<b>117.1</b>	<b>13,000</b>	140	<b>71</b>	<i>144</i>

**Explanation of Shortfall:** TIGTA did not meet its FY 2002 GPRA performance measure goals for several reasons including (1) a limited amount of historical baseline data for establishing the goals, (2) conservative techniques for quantifying audit results, and (3) the unpredictability of individual audit results. During FY 2003, TIGTA will continue to refine its goal-setting process to more accurately reflect expected performance based on an increasing amount of actual historical data. In addition, TIGTA will continue to emphasize the use of audit methodologies (e.g., statistical sampling) that yield quantifiable audit results that can be projected to the taxpayer base.

**Performance Measure: Percentage of IRS employees working during the fiscal year who attended a TIGTA integrity briefing**

**Definition:** The purpose of the integrity briefings is to educate employees on the expected professional conduct as they execute their responsibilities, to include recognizing and reporting bribe overtures. Integrity briefings have a potential deterrent effect and could dissuade employees from taking inappropriate advantage of their positions.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>36</b>	<b>47</b>	<b>43</b>	33	<b>39</b>	<i>30</i>

**Performance Measure: *Percentage of criminal investigative reports referred for prosecution within one year of case initiation***

**Definition:** This measure divides the number of criminal investigations referred during the fiscal year within one year of initiation by the total number of criminal investigations referred during the fiscal year. Criminal investigations are referred to the Assistant U.S. Attorney, state or local authorities.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>80</b>	<b>85</b>	<b>90</b>	80	<b>89</b>	73

**Performance Measure: *Percentage of misconduct investigations referred to management for administrative adjudication within four months of case initiation***

**Definition:** This measure divides the number of misconduct cases referred to management during the fiscal year within four months of initiation by the total number of misconduct cases referred during the fiscal year. Misconduct investigations involve an IRS or TIGTA employees.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>51</b>	<b>48</b>	<b>71</b>	64	<b>81</b>	60

**United States Secret Service (USSS)****Performance Measure: *Technology Support Index***

**Definition:** This measure reports an overall index covering the percentage of new capital IT investments that are within costs, on schedule, and meeting performance targets, as well as a component covering employee satisfaction with the current level and quality of technology support.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	baseline	<b>Baseline not established</b>	<i>tbd</i>

**Explanation of Shortfall:** Resources were not available to support this initiative.

## M2: Improve Customer Satisfaction

### Financial Crimes Enforcement Network (FinCEN)

**Performance Measure:** *Percentage of law enforcement customers satisfied with FinCEN's investigative analytical reports*

**Definition:** FinCEN's case support includes providing analytical reports to law enforcement. The purpose of this measure is to ascertain whether our Federal law enforcement customers are satisfied with FinCEN's analytical reports.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	baseline not established	baseline	79	tbd

**Performance Measure:** *Percentage of financial industry customers satisfied with FinCEN's analytical products that provide feedback on the use and utility of Bank Secrecy Act data*

**Definition:** This measure ascertains the value of specialized products as reported by our customers.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	baseline	baseline not established	tbd

**Explanation:** The survey instrument is being developed by the American Bankers Association and was not administered in FY 2002.

### Treasury Franchise Fund

**Performance Measure:** *Customer satisfaction approval rating*

**Definition:** This measure indicates an objective level of customer satisfaction.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
87	91	92	92	Not Available	92

**Explanation of Shortfall:** Performed annually at the end of the Fiscal Year. Data will be reported in the FY 2004 Justification.

### Federal Law Enforcement Training Center (FLETC)

**Performance Measure:** *Percentage of students that express satisfactory or higher ratings on the Student Quality of Training Survey*

**Definition:** The percentage of students that are satisfied with the training they receive. A modified 5-point Likert scale is used.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	99	90	99.3	90

**Performance Measure: *Percentage of Partner Organizations (PO) that express satisfactory or higher ratings on the PO Satisfaction Survey (POSS)***

**Definition:** This measure reflects the PO response to two specific qualitative statements on the POSS: 1) "A productive, proactive partnership exists between FLETC and my agency" and 2) "FLETC is a true partner in providing solutions to law enforcement training problems."

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	<b>97.5</b>	85	<b>97.5</b>	85

**Performance Measure: *Percentage of students that express satisfactory or higher ratings on the Student Quality of Services Survey***

**Definition:** The percentage of students that are satisfied with the services they receive while in training.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	<b>99</b>	90	<b>99.7</b>	90

**Financial Management Service (FMS)**

**Performance Measure: *Percentage of payments customers indicating an overall rating of satisfied or better***

**Definition:** This measure directly assesses satisfaction of payments customers (i.e., Federal program agencies) with both checks and electronic payments. It is based on a survey sent to FMS' disbursing customers. It includes measures of levels of service for core businesses: electronic payments, check payments, electronic funds transfer non-receipts, electronic certification system, and overall customer service.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>99.3</b>	<b>99.0</b>	<b>100.0</b>	99.0	<b>99.0</b>	99.0

**Internal Revenue Service (IRS)**

**Performance Measure: *Employee Plans and Exempt Organizations customer satisfaction***

**Definition:** Customers' overall level of satisfaction with the way their cases were handled by the IRS Employee Plans and Exempt Organization Determination programs.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>5.43</b>	<b>5.71</b>	<b>5.70</b>	5.70	5.78	5.80



**Performance Measure: Customer Satisfaction - Service Center examination**

**Definition:** This measures the overall satisfaction level of customers who interact with IRS service center examination services where 1 indicates very dissatisfied and 7 indicates very satisfied. Customer's overall level of satisfaction with the IRS Service Center examination process based on sampling of sole proprietors and self-employed individuals and farmers, as well as individual shareholders and partners examined as a result of a corporate audit are included in the sample certain limitations apply. Certain limitations on survey data apply as identified in the full definitions of the IRS Annual Performance Plan.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
3.87	4.04	4.18	4.45	3.99	4.50

**Explanation of Shortfall:** Taxpayers gave the lowest scores to "length of process," "explanation of adjustments, perception of fairness of treatment," and "listening to concerns." IRS is incorporating this feedback into its program improvement.

**Performance Measure: Customer satisfaction - Field Collection**

**Definition:** This measures the overall satisfaction level of taxpayers contacted by field collection efforts where 1 indicates very dissatisfied and 7 indicates very satisfied. It reflects customers' overall level of satisfaction with the way their cases were handled by the IRS Field Collection program. Only those customers who owe money to the IRS and have been referred to Collection are sampled and certain sample limitations apply. Upon conversion of the Integrated Collection System (ICS) database the survey will be expanded to include the entire range of Collection cases. Certain limitations on survey data apply as identified in the full definitions of the IRS Annual Performance Plan.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
3.89	4.60	5.01	5.00	4.97	5.00

**Explanation of Shortfall:** Field Collection FY 2002 actual was only 4 hundredths of a point off from FY 2001 actual of 5.01 and 3 hundredths below their FY 2002 plan. While they missed the goal, this difference is not statistically significant. Field Collection is in the process of analyzing their results to continue the drive for improvement in FY 2003. In FY 2002, satisfaction was highest among taxpayers who had a case time of 120 days or less, were self represented, or were in a delinquency investigation. Targeted training, procedural improvements, a re-examination of the documentation standards were all factors examined by the re-engineering team put in place as a result of the FY 2001 results.

**Performance Measure: Customer satisfaction - Toll-Free**

**Definition:** This measures the overall satisfaction level of callers to the IRS toll free assistance telephone line where 1 indicates very dissatisfied and 4 indicates very satisfied. It reflects customers' perception of IRS service received. Certain limitations on survey data apply as identified in the full definitions of the IRS Annual Performance Plan.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
3.46	3.41	3.45	3.54	3.44	3.56

**Explanation of Shortfall:** IRS commissioned a study to determine the weaknesses of the program. The study identified taxpayer difficulty in determining the correct number to dial, complex prompting menus, and confusing telephone number references on notices. IRS is working to fix those problems.

<b>Performance Measure: <i>Customer satisfaction - Walk-in</i></b>					
<b>Definition:</b> This measures the overall satisfaction level with the services provided to customers coming into IRS offices where 1 indicates very dissatisfied and 7 indicates very satisfied. The surveys provide an index to represent overall satisfaction with walk-in services.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>6.40</b>	<b>6.50</b>	<b>6.40</b>	6.55	<b>4.41</b>	6.55
<b>Explanation of Shortfall:</b> IRS needs to improve promptness of service and better advise customers of approximate wait time.					
<b>Performance Measure: <i>Telephone customer satisfaction - ACS</i></b>					
<b>Definition:</b> This measures the overall satisfaction level of customers who call assistors on the IRS Automated Collection System (ACS) where 1 indicates very dissatisfied and 4 indicates very satisfied. It is the percentage of calls attempted (demand) compared to the number of calls answered (calls which abandon after having been answered but while in queue for the next available assistor are not included in the count of calls answered) in the ACS. Certain limitations on survey data apply as identified in the full definitions of the IRS Annual Performance Plan.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>3.32</b>	<b>3.46</b>	<b>3.46</b>	3.53	<b>3.41</b>	3.54
<b>Explanation of Shortfall:</b> The most significant negative factor cited was difficulty in reaching IRS staff. Incoming call demand for this service exceeded IRS's expectations for FY 2002. In FY 2003, IRS will improve the alignment of workload and staffing. IRS will also improve the coordination of notice issuances and case closures with ASC operations.					
<b>Performance Measure: <i>Customer satisfaction - Field Examination</i></b>					
<b>Definition:</b> This measures the customers' overall level of satisfaction with the way their cases were handled by the Field Examination Program where 1 indicates very dissatisfied and 7 indicates very satisfied. Certain limitations on survey data apply as identified in the full definitions of the IRS Annual Performance Plan.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>4.08</b>	<b>4.41</b>	<b>4.65</b>	4.70	<b>4.73</b>	5.00

### U.S. Mint (Mint)

<b>Performance Measure: <i>Federal Reserve Board customer satisfaction survey results</i></b>					
<b>Definition:</b> This measure is used to indicate the level of customer satisfaction of one of the Mint's most important customers, the Federal Reserve Board. The Federal Reserve's 12 district banks and 25 member banks are surveyed annually to measure their satisfaction with the Mint's product, customer service, and delivery. *This measure will be discontinued in FY 2003.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>91</b>	<b>83</b>	<b>87</b>	85	<b>Not Available</b>	85*
<b>Explanation:</b> The survey is currently being conducted. Results are expected in November 2002. Actual data will be reported in the FY 2003 Justification and the FY 2003 report.					

<b>Performance Measure: ACSI score of 85%</b>					
<b>Definition:</b> The American Customer Satisfaction Index (ACSI) is an indicator that measures customer satisfaction. *This measure will be discontinued in FY 2003.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>86</b>	<b>84</b>	<b>88</b>	85	<b>Not Available</b>	85*
<b>Explanation:</b> Survey results expected in December 2002. Actual data will be reported in the FY 2003 Justification and the FY 2003 report.					

**U.S. Secret Service (USSS)**

<b>Performance Measure: U.S. Attorneys' Assessments</b>					
<b>Definition:</b> This measure represents a systematic review of U.S. Attorneys' feedback related to Secret Service investigative jurisdictions and performance.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
-	--	--	baseline	<b>84.2</b>	<i>tbd</i>
<b>Performance Measure: Industry Response Survey</b>					
<b>Definition:</b> This measure represents a needs assessment for law enforcement intervention in the financial crime area, based on sample surveys of selected financial industries.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	baseline	<b>Baseline not established</b>	<i>tbd</i>
<b>Explanation of Shortfall:</b> The Secret Service did not implement this measure. More relevant measures are being considered. A new strategic objective in the Secret Service's updated strategic plan necessitates a substitution of this measure.					

### M3: Improve Employee Satisfaction

#### Federal Law Enforcement Training Center (FLETC)

**Performance Measure:** *Percentage of employees that express satisfactory or higher ratings on the Employee Satisfaction Survey*

**Definition:** The percentage of employees that agree they are satisfied with the overall work environment at the FLETC.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	78	70	82	70

#### Financial Crimes Enforcement Network (FinCEN)

**Performance Measure:** *Percentage of employees who are satisfied with their job*

**Definition:** This measure provides an indication of the number of employees who are satisfied overall with their job, as a percentage of the total.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
--	--	--	baseline	66	tbd

#### Internal Revenue Service (IRS)

**Performance Measure:** *Employee Satisfaction - Agency-wide*

**Definition:** This measures the overall satisfaction of employee satisfaction (Servicewide) as the average percentage of favorable ratings in a survey of 12 indexes where 100% would indicate favorable in all indexes. It is a percentage measure of employee perceptions of the work environment, management practices, organizational barriers, and overall work environment that impacts an employee's efforts to do a good job.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
55	59	51	54	55	58

#### United States Secret Service (USSS)

**Performance Measure:** *Special agent non-retirement attrition rates*

**Definition:** This measure is the percentage of employees separating from the Secret Service for reasons other than voluntary retirement.

FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
2.3	2	2.1	2	2.9	2.0

**Explanation of Shortfall:** Due to the creation of the Transportation Security Administration, unforeseen job opportunities became available to many federal employees. The Secret Service was one of the many federal agencies who lost employees due to transfers to this new agency. It is likely that this is a one time event, and it is expected that the attrition will return to normal levels in the near future. The Secret Service is aggressively recruiting to fill vacant positions.

<b>Performance Measure: <i>Uniformed officers non-retirement attrition rates</i></b>					
<b>Definition:</b> This measure is the percentage of employees separating from the Secret Service for reasons other than voluntary retirement.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>2.9</b>	<b>6</b>	<b>6.6</b>	5	<b>18.1</b>	5.0
<b>Explanation of Shortfall:</b> Due to the creation of the Transportation Security Administration, unforeseen job opportunities became available to many federal employees. The Secret Service was one of the many federal agencies who lost employees due to transfers to this new agency. It is likely that this is a one time event, and it is expected that the attrition will return to normal levels in the near future. The Secret Service is aggressively recruiting to fill vacant positions.					
<b>Performance Measure: <i>Support personnel non-retirement attrition rates</i></b>					
<b>Definition:</b> This measure is the percentage of employees separating from the Secret Service for reasons other than voluntary retirement.					
FY 1999 Actual	FY 2000 Actual	FY 2001 Actual	FY 2002		FY 2003 Proposed Plan
			Plan	Actual	
<b>4.4</b>	<b>4.3</b>	<b>4.7</b>	4.5	<b>5.8</b>	4.5
<b>Explanation of Shortfall:</b> Due to the creation of the Transportation Security Administration, unforeseen job opportunities became available to many federal employees. The Secret Service was one of the many federal agencies who lost employees due to transfers to this new agency. It is likely that this is a one time event, and it is expected that the attrition will return to normal levels in the near future. The Secret Service is aggressively recruiting to fill vacant positions.					



## **PART 2**

# **LIST OF TREASURY'S FY 2002 PERFORMANCE MEASURES BY BUREAU/MAJOR PROGRAM**

## LIST OF TREASURY'S FY 2002 PERFORMANCE MEASURES BY BUREAU/MAJOR PROGRAM

This section lists performance measures and resource information by Treasury bureau or major program, and further by strategic goal. The list also references Section A pages which provide the full performance report information for the measure.

### Important Notes:

In the tables in this section, the FY 2003 President's budget amount does not include the cost of the Administration's legislative proposal to require agencies to pay the full Government share on the accruing cost of current employees' CSRS retirement and health benefits due to the fact that the legislative proposal was not enacted by Congress. The FY 2003 President's budget, as presented to Congress, initially presented the legislation as if enacted.

For bureaus whose budget authority is principally provided through annual appropriations, the tables show enacted new budget authority and direct full-time equivalent employment (FTE) for FY 1999-2001 and estimates for FY 2002-2003. For bureaus whose budget authority does not come from annual appropriations, the tables show total actual "spending" or obligations and FTE for FY 1999-2002 and estimates for FY 2003.

Source documents for all amounts are from the FY 2000 through FY 2003 President's Budget Appendices.

Alcohol, Tobacco and Firearms (ATF)					
	Enacted New Budget Authority & FTE				Estimated
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	558	605	773	855	884
FTE	3,969	4,299	4,551	5,029	5,106

### E1: Promote Domestic Economic Growth

	Page
Number of corrections made to unsafe conditions and product deficiencies reported to ATF or discovered during ATF inspections	A-3
Number of industry seminars held on ATF-regulated commodities	A-3

### F4: Collect Revenue Due to the Federal Government

Taxes/fees collected from alcohol, tobacco, firearms and explosives industries (\$ in billions)	A-25
Percent of entities filing electronically	A-25
Taxes and fees collected per dollar of collection expense	A-25

### LE1: Reduce Violent Crime and the Threat of Terrorism

Crimes related costs avoided (\$ in billions)	A-43
Number of future crimes avoided	A-43
Number of firearms trace requests	A-43
Number of persons trained in IVRS	A-43
NRT customer satisfaction rating	A-43

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Average trace response time (in calendar days)	A-43

Bureau of Engraving and Printing (BEP)					
	Actual Spending (obligations) & FTE				Estimated
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	567	476	404	436	517
FTE	2,489	2,510	2,592	2,677	2,677

#### F6: Improve the Efficiency of Production Operations and Maintain the Integrity of U.S. Coin and Currency

	Page
Manufacturing costs for currency	A-37
Manufacturing costs for stamps	A-37
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Number of stamps returned by U.S. Postal Service due to manufacturing defects per million stamps delivered	A-38
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Currency shipment discrepancies per million notes	A-38
Change in productivity from prior year	A-38
Postage stamp shipment discrepancies per million stamps	A-39
Unqualified audit opinion	A-39
Maintain/Upgrade ISO Certification	A-39

Bureau of the Public Debt (BPD)					
	Enacted New Budget Authority & FTE				Estimated
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	172	177	183	187	191
FTE	1,481	1,459	1,467	1,518	1,478

#### F5: Cost-Effectively Finance the Government's Operations

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Complete 90% of customer service transactions within three weeks	A-33
Conduct 100% of marketable securities auctions without error	A-33
Announce auction results within 25 minutes 95% of the time	A-33
Complete 90% of TREASURYDIRECT customer service transactions in three weeks	A-33
Make 100% of TREASURYDIRECT interest and redemption payments timely	A-34



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Make 99.9% of TREASURYDIRECT interest and redemption payments accurately	A-34
Make 100% of Commercial Book Entry interest and redemption payments timely and accurately	A-34
Process 99.9% of Government Securities Investment Program transactions accurately	A-34
Process 100% of Government Securities Investment Program transactions timely	A-34

Treasury Franchise Fund					
	Actual Spending (obligations) & FTE				Estimated
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	136	165	226	271	302
FTE	405	435	437	498	490

**M1: Support the Achievement of Business Results**

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Total revenue equals or exceeds total expenses for each franchise operation for each fiscal year	A-64
Current ratio (current assets divided by current liabilities)	A-64
Percentage change in total sales dollars from prior year	A-64
Number of management control deficiencies identified as defined in Circular A-123 and reporting requirements referenced therein	A-64
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Percentage change in total number of customers serviced from prior year	A-65

**M2: Improve Customer Satisfaction**

Customer satisfaction approval rating	A-69
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Community Development and Financial Institutions (CDFI)					
	Enacted New Budget Authority & FTE				Estimated
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	95	95	118	80	68
FTE	45	52	53	64	68

**E1: Promote Domestic Economic Growth**

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Amount of financial assistance provided to CDFIs by BEA applicants that submitted a final report (\$ in millions)	A-8

U.S. Customs Service (Customs)					
	Enacted New Budget Authority & FTE				Estimated
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	2,101	1,810	2,315	3,117	2,834
FTE	17,249	16,988	17,140	18,595	19,628

## E2: Maintain U.S. Leadership on Global Economic Issues

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Outbound enforcement targeting effectiveness	A-15

### LE1: Reduce Violent Crime and the Threat of Terrorism

Number of seizures for outbound licensing violations	A-44
Counterterrorism Qualitative Assessment	A-44

### LE2: Combat Money Laundering and Other Financial Crimes

Total monetary instrument seizures (\$ in millions)	A-45
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### LE3: Protect Our Nation's Borders and Major International Transportation Terminals From Traffickers and Smugglers of Illicit Drugs

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Narcotics seizures - cocaine (pounds per seizure)	A-49
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Narcotics seizures - heroin (thousands of pounds)	A-50

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Narcotics seizures - heroin (pounds per seizure)	A-50
Narcotics seizures - marijuana (number of seizures)	A-50
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Departmental Offices (DO)					
	Enacted New Budget Authority & FTE				Estimated
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	124	159	234	184	199
FTE	969	1,020	1,040	1,075	1,086

## E2: Maintain U.S. Leadership on Global Economic Issues

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## F5: Cost-Effectively Finance the Government's Operations

Percent of borrowing policies and borrowing requirements announced to financial market participants in a timely manner	A-35
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**LE1: Reduce Violent Crime and the Threat of Terrorism**

	Page
Increase the number of U.S. assets frozen and the number of U.S. transactions blocked of terrorist financing individuals or organizations by 10% from the baseline year	A-44
Percentage of terrorist organization accounts frozen of those identified during the fiscal year	A-44

**M1: Support the Achievement of Business Results**

Percentage of performance targets met by Domestic Finance bureaus (BPD, FMS, and CDFI)	A-59
Percentage of performance targets met by enforcement bureaus and major offices (USCS, ATF, USSS, FLETC, FinCEN, TFF)	A-59
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Percent of service contract dollars that are awarded using a performance-based contracting method	A-60
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Percentage of all IT systems that are currently certified and accredited to operate	A-61
Percent of new non-IT capital investments (over \$1,000,000) meeting costs, schedule, and performance targets	A-62
Percent of applicable contract opportunities that will be posted on the governmentwide point-of-entry Web site, FedBizOpps	A-62
Percent of key treasury information systems security personnel who assess security training as "effective"	A-62
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Percent of Treasury bureaus implementing plans to address skills gaps and, succession plans to address anticipated turnover in key leadership positions	A-63

<b>Federal Law Enforcement Training Center (FLETC)</b>					
	<b>Enacted New Budget Authority &amp; FTE</b>				<b>Estimated</b>
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	110	113	153	171	146
FTE	529	568	581	748	748

**LE5: Provide High-Quality Training for Law Enforcement Personnel**

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Percentage of requested training classes held within 15 days of the requested start date	A-57
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**M2: Improve Customer Satisfaction**

Percentage of students that express satisfactory or higher ratings on the Student Quality of Training Survey	A-69
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Percentage of students that express satisfactory or higher ratings on the Student Quality of Services Survey	A-70

**M3: Improve Employee Satisfaction**

Percentage of employees that express satisfactory or higher ratings on the Employee Satisfaction Survey	A-75
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<b>Financial Crimes Enforcement Network (FinCEN)</b>					
	<b>Enacted New Budget Authority &amp; FTE</b>				<b>Estimated</b>
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	25	30	38	48	51
FTE	160	169	174	238	254

**LE2: Combat Money Laundering and Other Financial Crimes**

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Average time to process a civil penalty case measured in years	A-45
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Percentage of financial industry customers satisfied with FinCEN's analytical products that provide feedback on the use and utility of Bank Secrecy Act data	A-46

**M2: Improve Customer Satisfaction**

Percentage of law enforcement customers satisfied with FinCEN's investigative analytical reports	A-69
Percentage of financial industry customers satisfied with FinCEN's analytical products that provide feedback on the use and utility of Bank Secrecy Act data	A-69

**M3: Improve Employee Satisfaction**

Percentage of employees who are satisfied with their job	A-75
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Financial Management Service (FMS)					
	Enacted New Budget Authority & FTE				Estimated
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	203	201	256*	213	221
FTE	2,006	1,986	1,844	1,818	1,818

\*Includes \$49.6 million for advanced tax relief payments

### F1: Manage the Federal Government's Accounts

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FMS will collect electronically the total dollar amount of Federal government receipts

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### F2: Ensure All Federal Payments Are Accurate and Timely

Percentage of paper check and EFT payments made on time	A-21
Percentage of paper check and EFT payments made accurately	A-21
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FMS will make Treasury payments and associated information electronically	A-21

### F3: Provide Accurate and Timely Financial Information and Support the Government-wide Implementation of Accounting Standards

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Percentage of Government-wide accounting reports issued timely	A-23
Percentage of reporting ALCs of Federal organizations with central audit differences less than six months old	A-23
Percentage of Federal agency reports for the Financial Report of the U.S. Government processed by FMS within the established standard range	A-23
FMS will receive an unqualified audit opinion on FMS' Schedule of Non-entity Assets, Non-entity Costs, Non-entity Custodial Revenues, and Schedule of Non-entity Government-wide Cash	A-24

### F4: Collect Revenue Due to the Federal Government

FMS will work to increase the percentage of eligible delinquent debt referred by Federal program agencies to FMS for collection using all available collection tools	A-25
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### M2: Improve Customer Satisfaction

Percentage of payments customers indicating an overall rating of satisfied or better	A-70
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Internal Revenue Service (IRS)					
	Enacted New Budget Authority & FTE				Estimated
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	7,727	8,217	8,912	9,471	9,916
FTE	96,343	95,155	97,707	99,901	101,080

**F4: Collect Revenue Due to the Federal Government**

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**M2: Improve Customer Satisfaction**

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**M3: Improve Employee Satisfaction**

Employee Satisfaction - Agency-wide	A-75
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U.S. Mint (Mint)					
	Actual Spending (obligations) & FTE				Estimated
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	1,419	1,423	1,069	884	929
FTE	2,290	2,676	2,760	2,536	2,467

**F6: Improve the Efficiency of Production Operations and Maintain the Integrity of U.S. Coin and Currency**

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**M2: Improve Customer Satisfaction**

Federal Reserve Board customer satisfaction survey results	A-72
ACSI score of 85%	A-73



<b>Office of the Comptroller of the Currency (OCC)</b>					
	<b>Actual Spending (obligations) &amp; FTE</b>				<b>Estimated</b>
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	403	396	406	417	439
FTE	2,946	2,920	2,836	2,791	2,813

**E1: Promote Domestic Economic Growth**

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<b>Office of Thrift Supervision (OTS)</b>					
	<b>Actual Spending (obligations) &amp; FTE</b>				<b>Estimated</b>
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	155	156	166	153	154
FTE	1,266	1,254	1,211	1,177	1,165

**E1: Promote Domestic Economic Growth**

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Percentage of thrift survey responses that rate the examination process as being "satisfactory" or "better than satisfactory"	A-11
Percentage of regulatory staff who will receive at least 30 hours of training designed to keep them current in regulatory issues and industry developments	A-11
Percentage of thrift institutions that, within sixty days of having received an unsatisfactory safety and soundness rating, are either subject to a formal or informal enforcement action or have had such action waived	A-11
Percentage of thrift institutions that, within sixty days of having received an unsatisfactory compliance rating, are either subject to a formal or informal enforcement action or have had such waived	A-12
Percentage of OTS-regulated thrift institutions that are either at least adequately capitalized, operating under an approved Capital Plan or PCA Directive, have been undercapitalized for less than 150 days, or have received prior approval by the Deputy Director for exceeding the 150-day timeframe for issuance of a PCA	A-12

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Number of service plans that met their standards divided by the total number of service plans	A-12
Number of new partnerships formed, activities/ programs commenced or investments made as a result of training, or partnership building activities	A-13
The number of institutions that OTS provides one-on-one technical or strategic planning assistance to in their efforts to meet their CRA obligations or expand the full range of housing, other credit and financial services to all segments of their communities	A-13

United States Secret Service (USSS)					
	Actual Spending (obligations) & FTE				Estimated
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	711	716	834	1,066	1,014
FTE	4,893	5,245	5,556	5,991	6,111

**LE2: Combat Money Laundering and Other Financial Crimes**

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**LE4: Protect Our Nation's Leaders and Visiting Dignitaries**

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**M1: Support the Achievement of Business Results**

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**M2: Improve Customer Satisfaction**

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**M3: Improve Employee Satisfaction**

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<b>Treasury Building/Annex Restoration and Renovation (TBARR)</b>					
	<b>Actual Spending (obligations) &amp; FTE</b>				<b>Estimated</b>
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	27	23	31	29	33
FTE	10	12	8	10	10

**M1: Support the Achievement of Business Results**

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Implement Phase 2 of the building modernization program (target: award contract)	A-63
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<b>Treasury Forfeiture Fund (TFF)</b>					
	<b>Actual Spending (obligations) &amp; FTE</b>				<b>Estimated</b>
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	347	226	270	221	221
FTE	--	--	--	--	--

**LE2: Combat Money Laundering and Other Financial Crimes**

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Percent of forfeited cash proceeds resulting from high-impact cases	A-48

<b>Treasury Inspector General for Tax Administration (TIGTA)</b>					
	<b>Actual Spending (obligations) &amp; FTE</b>				<b>Estimated</b>
Fiscal Year	1999	2000	2001	2002	2003
Budget (\$ in millions)	N/A	112	118	126	124
FTE	N/A	922	922	995	947

Note: TIGTA became operational in January 1999. FY 2000 was the first year that TIGTA received appropriations.

**M1: Support the Achievement of Business Results**

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Number of taxpaying entities for whom tax administration is improved as a result of audit recommendations made during the fiscal year (in millions)	A-65
Total potential increased revenue or revenue protected as a result of audit recommendations made during the fiscal year (\$ in billions)	A-66
Percentage of closed investigations that meet the PCIE investigative quality standards	A-66
Potential monetary benefits from audit recommendations made during the fiscal year (\$ in millions)	A-66
Percentage of IRS employees working during the fiscal year who attended a TIGTA integrity briefing	A-66

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Percentage of criminal investigative reports referred for prosecution within one year of case initiation	A-67
Percentage of misconduct investigations referred to management for administrative adjudication within four months of case initiation	A-67



# **COMPLETENESS AND RELIABILITY OF PERFORMANCE DATA**

## COMPLETENESS AND RELIABILITY OF PERFORMANCE DATA

### Treasury's Commitment to Quality Performance Measurement

The availability of quality performance information to assess program performance has long been a priority at the Department. Beginning with the FY 1998 performance plans, Treasury has provided descriptive information on each performance measure to define what was being measured and the significance of the measurement. With the FY 1999 performance plans, a description of the accuracy and means to verify data was included for each measure. In the FY 2000 performance plans, bureaus were required to provide self-assessments of data quality.

These self-assessments require bureaus to rate the data for each performance measure as having:

- *Reasonable Accuracy*: Judged to be sufficiently accurate for program management and performance reporting purposes (specified in OMB Circular A-11, Section 232.10 as "acceptably reliable")
- *Questionable or Unknown Accuracy*: Judged to be materially inadequate
- Where statistical confidence intervals are available, these are provided instead of the rating statements.

More verification efforts were added in FY 2001 and FY 2002, when bureaus were required to address any data reliability issues regarding their performance measures in the Assurance Statements required by the Federal Managers' Financial Integrity Act (FMFIA) and the Federal Financial Management Improvement Act (FFMIA).

### Completeness of Data

#### *FY 2002 Data*

Because of the accelerated submission of this consolidated Report, several of the actual (final) numbers for FY 2002 are estimates. Final actual data for these measures will be presented in the FY 2004 President's Justification for Appropriations and the FY 2003 Performance and Accountability Report.

The following performance measures did not have any data available for this Report, but will have final numbers presented in the FY 2004 President's Justification for Appropriations:

Performance Measure
<i>Dollar value of U.S exports and services (\$ in billions)</i>
<i>Customer satisfaction approval rating for the Franchise Fund</i>
<i>Federal Reserve Board customer satisfaction survey results for the Mint</i>
<i>American Customer Satisfaction Index score of 85% for the Mint</i>

The following performance measures will not have any data available until after publication of the FY 2004 President's Justification for Appropriations:

Performance Measure	Data Available
<i>Level of U.S. direct investment abroad (\$ in billions)</i>	July 2003
<i>Percentage of Federal agency reports for the Financial Report of the U.S. Government processed by FMS within the established standard range</i>	April 2003

### ***FY 2001 Data***

The following performance measures did not have data available at the time of publication of the FY 2001 Program Performance Report. They are presented here, with their final FY 2001 data.

Performance Measure	FY 2001 Plan	FY 2001 Actual
<i>Level of U.S. direct investment abroad (\$ in billions)</i>	growth	1,382
<i>Percentage of Federal agency reports for the Financial Report of the U.S. Government processed by FMS within the established standard range</i>	99	98
<b>Explanation of Shortfall:</b> Of 132 reporting entities, 130 (or 98.48%) were consistent. There were two large reporting entities that FMS could not get to submit an Accounting Group Worksheet that the FMS considered to be consistent with their audited financial statements. After significant work with FMS' auditor, it was decided that a new approach to verifying consistency would be developed. However, this corrective action, which will ensure 100% consistency, will not be fully implemented until 2004.		

### **Data Reliability**

Performance data presented in this Report meets the standards for reliability set forth in OMB Circular A-11, Section 232. There is neither a refusal nor a marked reluctance by agency managers or Government decision makers to use the data in carrying out their responsibilities. Data judged as materially inadequate, along with a brief reason for the inadequacy and planned corrective actions are in the following chart.

Bureau	Data Not Reasonably Accurate / Materially Inadequate	Reason for Inadequacy and Actions to Correct
<b>CDFI</b>	Increase in dollar amount of community development loans, investments, and services in distressed communities by Bank Enterprise Award (BEA) applicants that submitted a final report (assessment period over baseline period)	The FY 2002 BEA program performance information is being directly reported by the BEA awardees. The CDFI Fund has not corroborated the BEA awardee-reported information to assess reliability
	Amount of financial assistance provided by CDFIs by BEA applicants that submitted a final report	The Fund is discontinuing the use of these measures beginning in FY 2003 and replacing them measures that are outcome-based.
	Number of CDFIs receiving financial assistance by BEA applicants that submitted a final report	

Bureau	Data Not Reasonably Accurate / Materially Inadequate	Reason for Inadequacy and Actions to Correct
<b>CDFI (cont.)</b>	Number of BEA applicants that submitted a final report that provided financial assistance to CDFIs	See above.
	Amount of non-Federal dollars raised by CDFIs during the year (excludes amounts relating to the New Markets Tax Credits Program)	<p>The FY 2002 Core and SECA program performance information is being directly reported by the awardees. The CDFI Fund has not corroborated the awardee-reported information to assess reliability.</p> <p>Corrective actions include validating awardee-reported performance data and establishing methodology to corroborate performance data provided by awardees to ensure accuracy and reliability.</p>
	Dollar amount of private sector investment in Community Development Entities resulting from the New Markets Tax Credits (NMTC) Program	<p>FY 2002 was the first year of the NMTC program. FY 2002 performance information would have been directly reported by the awardees. The Fund would not have corroborated the awardee-reported information to assess reliability.</p> <p>The Fund is discontinuing the use of this measures beginning in FY 2003 and replacing it with a measure that is outcome-based.</p>
<b>DO</b>	Percent of new non-IT capital investments meeting costs, schedule, and performance targets	<p>The data is questionable due to this being the first year of vigorous application of using the Exhibit 300 (Capital Asset Plans and Business Cases) for non-information technology assets. As the bureaus become more familiar and accustomed to the process we anticipate improvements in the quality of the data.</p> <p>Actions to Correct: Corrective actions include continued re-enforcement of the use of Exhibit 300 and the earned value management system; the monitoring of the data provided in the earned value management system; and potential training/guidance to the bureaus.</p>



**Efforts to Improve the Quality and Value of Performance Data**

The OIG is in the process of evaluating the Department's process to assess the completeness and reliability of performance data for the FY 2002 Performance and Accountability Report. The evaluation, so far, identified processes the bureaus use to assess completeness and reliability of their data and solicited feedback from the bureaus on how to enhance the overall reporting process. Among the suggestions were to clarify definitions, consolidate data collection requests, and to reduce the number of performance measures on which Treasury reports. These suggestions and any others provided by OIG will be acted upon in FY 2003. Limited testing on the bureau processes is being performed by the OIG and will determine whether processes described are in place.